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## HANDBOOK FOR PREPARATION OF INDIVIDUAL PROCUREMENT ACTION REPORT (IPAR)

### October 1, 2001

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# **HANDBOOK FOR PREPARATION OF INDIVIDUAL PROCUREMENT ACTION REPORT (IPAR)**

**October 1, 2001**

## **INTRODUCTION**

The Procurement and Assistance Data System (PADS) provides a mechanism for collecting, assembling, organizing, and presenting acquisition and assistance data for the Department of Energy (DOE). This handbook and associated documents establish a uniform system to report acquisition/assistance data to PADS for the collection, processing, and dissemination of official statistical data on the Department's acquisition and assistance actions. The data provides, based on information available at the time of request, a basis for any recurring and special reports to the senior procurement executive, Congress, General Accounting Office (GAO), Federal executive agencies, Office of Management and Budget (OMB), and the general public. It provides information for measuring and assessing the extent to which small business firms and small disadvantaged business enterprises are sharing in DOE's business, and for other acquisition and assistance policy and management control purposes.

## **GENERAL INFORMATION**

The Individual Procurement Action Report consists of two data collection forms, one for collecting information on procurement actions (DOE F 4200.40) and another for collecting information on financial assistance actions (DOE F 4200.40A). The IPAR Supplement (DOE F 4200.41) may be used for data collection on both types of actions.

The Handbook for the Preparation of the Individual Procurement Action Report (IPAR) has been designed in two sections to support the individual forms; Procurement and Financial Assistance.

[pdf version of the IPAR for Procurement actions \(DOE F 4200.40\)](#)

[pdf version of the IPAR for Financial Assistance actions \(DOE F 4200.40A\)](#)

[pdf version of the IPAR Supplement form \(DOE F 4200.41\)](#)

## PROCUREMENT ACTIONS

### **ITEM 1**      **ADD/CHANGE**

Check "ADD" if this is a new basic award or a modification to an existing award not previously reported to PADS. Check the block marked "CHANGE" if this award action is a change to an award/modification previously reported to PADS.

### **ITEM 2**      **AWARD BIN (BUSINESS INSTRUMENT NUMBER)**

Enter the identifying number for the legal document, which constitutes the agreement between the Department of Energy and the awardee.

Reference DOE Order 540, "Departmental Business Instrument Numbering System", 12-05-2000.

**Award Business Instrument Number:** The award business instrument number consists of 17 characters and has the following format: DE-AC01-99FE12345. Information is encoded in the number as follows:

- A. The first and second positions, **DE**-AC01-99FE12345, contain the two-character code assigned by the Federal Procurement Data Center to identify Department of Energy awards.
- B. The third position contains a dash.
- C. The fourth and fifth positions, DE-**AC**01-99FE12345, contain a two-character code corresponding to the type of award instrument. (The Type of Award Instrument Codes and definitions follow.)
- D. The sixth and seventh positions, DE-AC**01**-99FE12345, identify the responsible awarding office. (The Awarding Office codes follow.)
- E. The eighth position is a dash.
- F. The ninth and tenth positions, DE-AC01-**99**FE12345, contain the last two digits of the fiscal year of the award date of the basic award.
- G. The eleventh and twelfth positions, DE-AC01-99**FE**12345, contain a two-character code indicating the initiating office. (Due to Departmental reorganizations, some award business instrument numbers contain codes that are no longer used for new awards.)

- H. The thirteenth through seventeenth positions, DE-AC01-99FE12345, will contain a five digit serial number assigned by the initiating office. The last seven digits of the award BIN are referred to as the Register Number. The register number remains unchanged from initiation of the award through retirement.

#### **AWARDING OFFICE**

- 01 Washington Procurement Operations Office
- 02 Chicago Operations Office
- 03 Oakland Operations Office
- 04 Albuquerque Operations Office
- 05 Oak Ridge Operations Office
- 06 Richland Operations Office
- 07 Idaho Operations Office
- 08 Nevada Operations Office
- 09 Savannah River Operations Office
- 11 Pittsburgh Naval Reactors Office
- 12 Schenectady Naval Reactors Office
- 13 Grand Junction Project Office
- 16 Portsmouth Project Office
- 17 Environmental Measurements Laboratory
- 24 Ohio Field Office
- 26 National Energy Technology Laboratory
- 27 Office of River Protection
- 32 Los Alamos Area Office
- 33 Kansas City Area Office
- 34 Rocky Flats Office
- 36 Golden Field Office
- 41 Boston Regional Office
- 43 Philadelphia Regional Office
- 44 Atlanta Regional Office
- 45 Chicago Regional Office
- 48 Denver Regional Office
- 51 Seattle Regional Office
- 65 Western Area Power Administration
- 70 Southeastern Power Administration
- 75 Southwestern Power Administration
- 91 Naval Petroleum and Oil Shale Reserves
- 96 Strategic Petroleum Reserve Office

## **TYPE OF AWARD INSTRUMENT**

### **CODE**

### **DEFINITION**

**AA**

#### **Basic Agreement (Terms and Conditions Only)**

A basic agreement is a written instrument of understanding, negotiated between an agency or contracting activity and a contractor, that (1) contains contract clauses applying to future contracts between the parties during its term and (2) contemplates separate contracts that will incorporate by reference or attachment the required and applicable clauses agreed upon in the basic agreement. A basic agreement is not a contract. (No dollars entered into PADS)

**AB**

#### **Blanket Purchase Agreement**

A blanket purchase agreement (BPA) is a simplified method of filling anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified sources of supply. (No dollars entered into PADS)

**AC**

#### **Contract**

A mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing.

**AD**

#### **Delivery Order**

An order for supplies placed against an established contract or with Government sources of supply. (Item 8 Master Bin must be entered when AD is used.)

**AF**

#### **Simplified Acquisition Procedure**

An award made under FAR 13, Simplified Acquisition Procedures, where the total value of the award is less than \$100,001.

**AI**

#### **Interagency Agreement (Purchase)**

A procedure by which an agency needing supplies or services (the requesting agency) obtains them from another agency (the servicing agency).

**AK**

**Basic Ordering Agreement**

A basic ordering agreement is a written instrument of understanding, negotiated between an agency, contracting activity, or contracting office and a contractor that contains: (1) terms and clauses applying to future contracts (orders) between the parties during its term; (2) a description, as specific as practicable, of supplies or services to be provided; and (3) methods for pricing, issuing, and delivering future orders under the basic ordering agreement. A basic ordering agreement is not a contract.

**AM**

**Indefinite-Delivery Contract**

**Definite-Quantity Contract**

A definite-quantity contract provides for delivery of a definite quantity of specific supplies or services for a fixed period, with deliveries to be scheduled at designated locations upon order.

**Requirements Contract**

A requirements contract provides for filling all actual purchase requirements of designated Government activities for specific supplies or services during a specified contract period, with deliveries to be scheduled by placing orders with the contractor.

**Indefinite-Quantity Contract**

An indefinite-quantity contract provides for an indefinite quantity, within stated limits, of specific supplies or services to be furnished during a fixed period, with deliveries to be scheduled by placing orders with the contractor.

**AR**

**Research Opportunity Award**

A contract for research solicited from a Research Opportunity Announcement.

**AS**                    **Special Research Contract**

Headquarters designated acquisition award instrument for basic research with educational or other nonprofit institutions when the annual DOE support under the contract does not exceed \$1,000,000 per year. DOE's monetary obligation should be a specified amount referred to as the support ceiling, effective for the contract term.

**AT**                    **Task Order**

The purchase of services where the place of delivery and quantity, or performance of services, are specified in each order. (Item 8 Master Bin must be entered when AT is used.)

**AX**                    **Simplified Acquisition for Small Business Competitiveness Demonstration Program**

A simplified acquisition that fits in the designated industry groups as defined by Business Opportunity Development Reform Act of 1988 (Public Law 100-656) or into the ten targeted industry categories as defined by Department of Energy Office of Small and Disadvantaged Business Utilization.

**CR**                    **Waste Management Revenue Collection**

A contract for the "funds in" collection of revenue from contractors of the Department on disposal of spent nuclear fuel and/or high-level radioactive waste. (No dollars entered on IPAR.)

**GI**                    **International Agreement**

Treaties and other agreements of a contractual character between different countries or organizations of states (foreign) creating legal rights and obligations between the parties.

**GM**                    **Memorandum of Understanding**

A written agreement broadly stating basic understanding and describing a mechanism for coordinating activities to be engaged in by the Department and other signatory authorities. It is not limited to understandings with Federal agencies but may include: local, State, international, and other government entities; the private sector, and educational institutions. (No funds agreement.)

**RL                    Lease of Real Property**

An agreement, which gives exclusive possessive interest in the property for a specified time reserving to the owner rent. (Rental property is land or land and improvements including interests therein.)

**RO                    Other Real Property Transaction**

Real property actions that are not lease or purchase of real property.

**RP                    Purchase of Real Property**

The purchases of real property. (Real property is land or land and improvements including interests therein.)

**SA                    Interagency Agreement (Sales)**

A sales type award (funds in) between DOE and another executive agency, which sets out specific tasks to be accomplished by DOE in support of the other agency. As a sales instrument, it is intended to transfer some personal property or non-personal service to the buying agency for appropriate remuneration. The agreement clearly specifies work contemplated, reporting requirements, procurement and patent policy, personnel exchanges (if necessary), and arrangements for transfer of funds (when applicable). (No dollars entered in PADS.)

**SC                    Sales Contract**

A contract under which a purchaser buys Government-owned material from the Government (No dollars entered in PADS.)

**UN                    UNICOR (Federal Prison Industries)**

An award made to Federal Prison Industries as a new basic award or an order against another contract (i.e., Federal Schedule).



### **ITEM 3**      **MODIFICATION NUMBER**

**Award Modification Number:** All new basic awards and modifications to an award are identified by a modification number assigned by the awarding office. These modification numbers are not part of the award business instrument number.

- A. The basic award and modifications to each business instrument shall be sequentially numbered by use of a four-position alphanumeric code.
  - 1. The first position shall be a capital letter identifying the type of action as follows:

A - (Amount) An action adding, changing, or deleting financial data that is collected on the IPAR, but not administrative corrections to financial data.

M - (Miscellaneous) An action having no net effect on financial data that is collected on the IPAR, including administrative corrections.
  - 2. The second through fourth positions shall contain a sequential serial number of the modification. For basic awards, enter 000. The next assigned modification number would be 001, 002 etc. These numbers continue in sequence throughout the life of the award.
- B. Examples of modifications:
  - 1. M001 - first modification to contract, no effect on financial data.
  - 2. A002 - second modification to contract, changes in financial data.
  - 3. M003 – third modification to contract, no effect on financial data.

### **ITEM 4**      **KIND OF AWARD ACTION**

#### **NEW AWARDS**

<b><u>CODE</u></b>	<b><u>DEFINITION</u></b>
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<b>1A</b>	<b><u>New Definitive Award</u></b>
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The establishment of a binding legal relationship between the Government and awardee, or contractor, for the purpose of receiving supplies, services, construction, research and development.

**1B                    Order Under Basic Purchasing Agreement (BPA)**

An order for supplies and/or services under a basic purchasing agreement. This also includes orders that are awarded using the Commercial Item Test Program.

**1G                    Order Under Single Award Contract**

An order issued under a single award indefinite delivery indefinite quantity (IDIQ) contract.

**1J                    Order Under Federal Schedule**

An order for supplies and/or services against an established Federal schedule contract. The terms and conditions, including price and delivery, are included in the Federal schedule.

**1K                    Order Under Basic Ordering Agreement (BOA)**

An order for supplies and/or services under a basic ordering agreement.

**1L                    Order Under DOE Interagency Agreement**

The purchase of supplies or services under a DOE Interagency or International Agreement.

**1Z                    Order Under Multiple Award Contract**

An order under a multiple award indefinite delivery indefinite quantity (IDIQ) contract.

**LC                    Letter Contract**

A written preliminary contractual instrument in which the terms and conditions were not definitized prior to execution of the award.

**SP**                    **Simplified Acquisition Procedure**

The procurement of supplies and/or services pursuant to procedures in FAR Part 13. This includes simplified acquisitions awarded under the Commercial Item Test Program.

**MODIFICATIONS**

**CODE**                    **DEFINITION**

**1D**                    **Exercise of Option**

"Option" is a unilateral right in a contract by which, for a specified time, the Government may elect to purchase additional supplies or services called for by the contract or may elect to extend the term of the contract. Written notification via contract modification within the time specified in the contract is required to exercise the option.

**1J**                    **Modification to Order Under Federal Schedule**

A modification to an order for supplies and/or services against an established Federal schedule contract.

**1M**                    **Termination for Default**

The exercise of the Government's contractual right to completely or partially terminate a contract because of the contractor's actual or anticipated failure to perform its contractual obligations.

**1N**                    **Termination for Convenience**

The exercise of the unilateral right of the Government to terminate, in whole or in part, the contractor's performance under a contract when the contracting officer determines that it is in the best interest of the Government.

**1P                    Supplemental Agreement - Monetary Action**

A contract modification to an award effecting changes in the general scope of work, obligations, or other award terms and conditions. This type of modification should require the signature of the contractor and the contracting officer.

**1T                    Incremental Funding (Only)**

The obligation of funds to an award containing a total price or estimated cost, in periodic installments against prescribed performance goals or objectives. The modification is normally unilateral with an increase in obligations only.

**1V                    No Cost Time Extension (Only)**

A modification which extends only the performance period under an award with no increase in the total face value or obligated dollars.

**1W                    Administrative Change**

A unilateral modification to an award instrument which changes administrative data; e.g., paying office, technical representative, etc.

**1X                    Funding Adjustment to Completed Award**

A modification issued to an award instrument which has been completed wherein funds need to be obligated or deobligated before it can be retired.

**1Y                    Other**

"Catch all" code used to report modification actions, which did not meet the criteria of the other codes.

**BC                    Bilateral Change Order**

A supplemental agreement issued pursuant to the changes clause in which the terms of the resulting equitable adjustment to the contract were negotiated prior to issuance of the instant change order.

**DM            Definitizing Modification**

A supplemental agreement issued to definitize one or more unilateral change orders, letter modification to a definitized contract and/or a letter contract.

**LM            Letter Modification to a Definitized Contract**

A bilateral modification incorporating new work into the contract in which the terms and conditions of the modification were not definitized prior to the execution of the modification. (Do not use against undefinitized contract.)

**NW            New Work (Outside Scope)**

A supplemental agreement, which incorporates work outside the scope of the original contract into the contract.

**TR            Transferred Award**

A contract award that is being transferred from one awarding office to another. The office transferring the award is responsible for transfer modifications.

**UC            Unilateral Change Order**

A unilateral modification issued pursuant to the changes clause in which the terms of the resulting equitable adjustment to the contract were not definitized prior to the issuance of the instant change order.

**ITEM 5            MOD NUMBER BEING DEFINITIZED**

Enter the modification number (A--- or M---) being definitized that was previously awarded as an undefinitized action, a unilateral change order, letter modification, or letter contract.

If this award action definitizes more than one modification, enter all modifications that are being definitized by this one action. If additional space is required, see DOE Form 4200.41, Item 7.

## **ITEM 6**      **PROCUREMENT REQUEST NUMBER**

Entry of procurement request numbers are not required for PADS. Awards can be reported with procurement request numbers or without. This determination is made at each site/office. To report actions without reporting the procurement request number, follow the directions given in A. (Following)

To report actions with procurement request numbers, follow directions given in B. (Follows A below)

### **A.      Reporting Awards without a Procurement Request Number**

1.      The actual Procurement Request has not been entered into PADS.
2.      When entering the IPAR, enter a “N” in the first position of item 6.
3.      Item 7, PR Completion Code must be “YES.”
4.      Any IPAR can be reported without a procurement request except for a transfer of an award between offices.

### **B.      Reporting IPARS with a Procurement Request**

1.      The procurement request (DOE form 4200.33 or 799x) must first be entered and accepted into PADS.
2.      Enter the 16-character number of the procurement request that authorized this award (e.g., 01-99FE12345.000) from block 3 of the DOE Form 4200.33.
3.      This number is also found in block 3, Requisition/Purchase Request No. on the Standard Form 26, Award/Contract, and on Standard Form 30, Modification.
4.      The basic portion of a procurement request number is twelve characters long in a format exemplified by 01-99FE12345. This is identical to the last 12 characters of the award business instrument number, with the following exception: for a procurement request number, the fiscal year portion reflects the fiscal year of the anticipated award date. For example, the basic portion of a procurement request number which initiated a procurement action for a new award in FY 1999 would be in the form of 01-99FE12345. Subsequent actions in FY 1999 would have the same basic portion for their procurement request numbers. For actions related to this award in FY 2000, the procurement request number would be in the form of 01-00FE12345.

With regard to the award business instrument number, however, the fiscal year portion of this number remains the same as the year in which the instrument was initially awarded, in this example, FY 1999. Therefore, regardless of the fiscal year of the procurement request, the fiscal year portion of the award business instrument number does not change.

The supplementary portion of the procurement request number consists of a decimal point followed by a three-digit number added to the right of the basic portion of the procurement request number. The number identifies the sequence of procurement requests initiated for a fiscal year. The number is assigned sequentially starting with "000" and is used to represent funding actions or any other action that involves procurement activity; e.g., a no-cost extension.

To continue with the previous example, the procurement request number that initiated the basic award would be 01-99FE12345.000. The next action in FY 1999 would be a modification with a procurement request number 01-99FE12345.001. This supplemental portion does not become part of the award business instrument. Each fiscal year a new sequence begins with "001." The "000" is used only once during the life of the award.

Sometimes the awarding office will initiate a modification action under an award where the initiating office need not issue a procurement request. To provide for this case, the three-character sequence has been divided to have the awarding office use "501" through "599". If, in the above example, the awarding office were to initiate its own first procurement request under award in FY 1999 to change the cognizant contracting officer, it would be coded as 01-99FE12345.501.

The use of a different series prevents duplication of procurement request numbers that might occur when two separate offices are issuing procurement requests.

The following examples further explain the supplementary portion of the procurement request number:

- 01-99FE12345.000 - New award initiation.
- 01-99FE12345.001 - First subsequent action in FY 1999.
- 01-00FE12345.001 - First subsequent action FY 2000.
- 01-00FE12345.002 - Second subsequent action in FY 2000.
- 01-00FE12345.501 - First awarding office action in FY 2000.

## **ITEM 7**      **PR COMPLETION CODE**

Check the block indicating whether the PR referenced in Item 6 is completed or still open for further action. If an "N" was reported in Item 6, report a "YES" in Item 7.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
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YES	The PR is completed by this action.
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NO	The PR is not completed by this action and will be used again.
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## **ITEM 8**      **MASTER BIN**

Enter the 17-character DOE Master Award BIN or another agency's contract number (e.g., GSA Federal Supply Schedule Contract or GSA IDIQ contract).

This number is used when a separate award BIN is created to issue a delivery order or task order for actual delivery of products or services. (Examples: DE-AM01-99AD12345, GS-99X9999). DOE Master Bin numbers begin with DE-AB, DE-AI, DE-AK, DE-AM, or DE-GI. For orders against other agencies, see miscellaneous table AWAG, Awarding Agency.

When GSA number has alpha "OO" in the 3rd and 4th position, enter as numeric 00.

GSA schedule numbers will be verified for accuracy with numbers provided by GSA.

## **ITEM 9**      **DUNS NUMBER (Data Universal Numbering System)**

Enter the 9-character DUNS number identifying the business establishment or individual receiving the award.

This number can be obtained (when not in contract file) by calling Dun and Bradstreet, Inc. at 1-888-546-0024. Facsimile requests should be made to 1-610-882-7140.

The DUNS number for UNICOR is 626627459.

The DUNS number will be edited for accuracy against the D&B number file.

(DUNS number is not allowed on interagency agreements, sales, basic agreements (terms and conditions), memorandum of understanding (MOU), and international agreements.)



## **ITEM 10**      **VENDOR ID**

Enter the 13-character Vendor ID code for the contractor and division. The Vendor ID codes can be found in the Directory of Awardee Names at <http://www.osti.gov/dan>. The Vendor ID in the Directory must match the name, division (if applicable), city, and state of the awardee.

If no Vendor ID code is listed in the Directory for the exact name, division (if applicable), city and state of the awardee, the awardee name (Item 11) must be entered, and division (Item 12) if applicable, in accordance with the Instructions for Completing Awardee Names in PADS, Appendix E to this handbook.

## **ITEM 11**      **AWARDEE NAME**

Enter the contractor name (up to 30 characters) of the individual, partnership, corporation, firm, association, Federal, State, or local agency, or other type of awardee of the new award. Formatting abbreviations are to be in accordance with Instructions for Completing Awardee Names in PADS, Appendix E. (System-generated if Item 10 is entered.)

## **ITEM 12**      **DIVISION**

Enter the name of the sub-organization of the contractor in Item 11 above, Awardee Name.

Example: Cable Division (System generated if Item 10 is entered.)

## **ITEM 13**      **CONTRACTOR'S TIN**

Enter the 9-digit taxpayer identification number (TIN) for the contractor receiving the award.

Contractor's TIN is required for all new basic contract awards except the following: GSA Federal Supply Schedule Awards; awards to State/local governments; any contract with a foreign government (or any agency or instrumentality thereof); foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the U.S. and does not have an office or place of business or a fiscal or paying agent in the U.S.

**ITEM 14**      **COMMON PARENT'S NAME**

Enter the name of the common parent of the affiliated group if the contractor receiving the award is a member of an affiliated group of corporations that files its Federal income tax returns on a consolidated basis. Leave blank if not applicable.

**ITEM 15**      **COMMON PARENT'S TIN**

Enter the taxpayer identification number (TIN) of the common parent of the affiliated group if the contractor receiving the award is a member of an affiliated group of corporations that files its Federal income tax returns on a consolidated basis. Required if Item 14 is completed; otherwise leave blank.

**PRINCIPAL PLACE OF PERFORMANCE**

Report the city, state, foreign country, of the location (Items 16-21) where the items will be produced, manufactured, mined, or grown or where the service will be performed. This item refers to the contractor's final manufacturing assembly point, processing plant, construction site, place where a service is performed, location of mines, or where the product is grown.

If the items are supplied parts shipped from stock by a regular dealer, the place of performance is the regular dealer's location. If the items are shipped for the regular dealer by a subcontractor who produces the items, the place of performance is the subcontractor's location.

If more than one location is involved, report only the location involving the largest dollar share of the contract.

For construction and architect/engineer contracts, report the construction site location. If the contract is for architect/engineer design work, the place of performance is where the design work is being done.

If the place of performance cannot be determined (e.g., if the contractor has multiple location sites performing the same volume of work), or commercial item acquisition procedures were used, report the contractor's billing or home office location.

**ITEM 16**      **CITY**

Enter the name of the city that is the principal place of performance of the award (up to 25 characters). (Example: Dallas).

**ITEM 17**      **STATE**

Enter the 2-character U.S. Postal Service code for the state or outlying area that is the principal place of performance of the award. See Appendix C for codes.

**ITEM 18**      **ZIP CODE**

Enter the 9-digit zip code that applies to the principal place of performance of the award. (Example: 22134-2700).

Zip Codes are listed in the U.S. Postal Service's National Zip Code Directory.

For locations outside the U.S., leave zip code blank.

**ITEM 19**      **COUNTY**

Enter the name of the county that is the location of the principal place of performance of the award. (Example: Montgomery). For the District of Columbia (DC), and locations outside the U.S., leave county blank.

If city, state, and zip code are entered, county will be system generated. If city within the state is in multiple counties, or if multiple cities with the same name are in a state, county must be entered.

The FIPS 55 (Federal Information Processing Standards) provides information concerning city, county, and state.

**ITEM 20**      **CONGRESSIONAL DISTRICT**

Enter the 2-character numeric code for the congressional district that is the principal place of performance of the award. These codes are listed in the Congressional District Atlas. (Example: 01).

(Codes entered will be verified against Post Office Congressional District information.)

**ITEM 21**      **COUNTRY**

Enter the 2-character code for the country that is the principal place of performance of the award. For locations in the U.S., leave this element blank. See Appendix D for country codes.

**ITEM 22**      **AWARD DATE**

Enter the date the DOE contracting officer signed the official award or modification. (Format: MM/DD/YYYY).

**ITEM 23**      **AWARD EFFECTIVE DATE**

Enter the date the award becomes effective. This date reflects the beginning of the period of performance and can be found in block 2 of the Standard Form 30 and Standard Form 26. (Format: MM/DD/YYYY)

**ITEM 24**      **AWARD COMPLETION DATE**

Enter the completion date of the award. This field must be filled out for all time extensions to the basic award. (Format: MM/DD/YYYY)

## **ITEM 25**      **E-GOVERNMENT**

Enter the proper code that describes whether, during the processing of this award, E-Government (electronic commerce) methods were used during the solicitation and/or award phase of the acquisition. Examples of E-Government methods include the use of FedBizOpps, the Industry Interactive Procurement System (IIPS), DOE C/-Web or other similar systems that communicate electronically with our vendors.

**NOTE:** Effective October 1, 2001, all synopses, solicitations and related documents for which widespread notice is required must be posted on FedBizOpps (see Policy Flash 2001-17, Federal Acquisition Circulars (FAC's) 97-25 and 97-26).

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
A	Solicited electronically (only)
B	Solicited and awarded electronically
C	Awarded electronically (only)
D	Not solicited or awarded electronically

## **ITEM 26**      **USE OF EPA DESIGNATED PRODUCTS**

The Resource Conservation and Recovery Act (RCRA), Section 6002 and Executive Order 13101 require the purchase of Environmental Protection Agency (EPA) EPA-designated products with a required minimum material content as described in an agency's Affirmative Procurement Program (APP). This list of EPA-designated products is available at <http://www.epa.gov/cpg>. This requirement applies to all contracts that require EPA-designated products. When purchasing a product or products on this list without the required minimum recovered material content, a written justification based on exception codes B, C, or D below is required by FAR 23.405(c). If more than one exception applies or more than one justification was completed, report the predominant exception code or the code for the highest cost EPA-designated item for which a justification was completed. Select one of the following:

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
A	EPA-designated product or products were purchased and all contained the required minimum recovered material content.
B	EPA-designated product or products were purchased without the required minimum recovered material content and a justification was completed based on inability to acquire the product(s) competitively within a reasonable time (FAR 23.405(c)(1)).

- C EPA-designated product or products were purchased without the required minimum recovered material content and a justification was completed based on inability to acquire the product(s) at a reasonable price (FAR 23.405(c)(2)).
- D EPA-designated product or products were purchased without the required minimum recovered material content and a justification was completed based on inability to acquire the product(s) to reasonable performance standards in the specifications (FAR 23.405(c)(3)).
- E No EPA-designated product(s) were required.

**ITEM 27**      **USE OF RECOVERED MATERIALS CLAUSES**

Enter the proper code identifying whether or not the clauses were used.

**Code A** – Recovered Material Clauses. Report this code only if the contract includes FAR 52.223-4, Recovered Material Certification, or FAR 52.223-4, Recovered Material Certification and FAR 53.223-9 and FAR 52.223-10, Estimate of Percentage of Recovered Material Content for EPA-Designated Products.

**Code B** – Report this code if neither clause is included in the contract.

**ITEM 28**      **DESCRIPTION OF WORK**

Enter the brief description from the statement of work or project description (not less than 15 characters). A maximum of 150 characters (including spaces, dashes, etc.) may be entered. Insure that description is a concise statement of what is acquired or what work is being performed. Avoid use of abbreviations, acronyms and jargon if possible.

**FINANCIAL DATA GUIDANCE**

- A. For a "funds in" or sales transaction, government share, awardee share and total are not entered into PADS.
- B. Dollars are entered as whole dollars, no cents, no decimals, no commas.
- C. Decreases in dollars should be preceded by a minus "-". (Example: -25000).
- D. Corrections to previously entered financial data on modifications will replace current dollar values. Changes may be made by any of three methods:

1. Government share, awardee share and total (Items 29, 30 and 31). A change to any one of these fields requires re-entry of data in all three. To leave dollars as they are on the database, the same values must be re-entered.

If B&R numbers and B&R dollars (Items 32 and 33) are not entered, they will be left as they currently exist on the database.

2. B&R numbers and/or B&R dollars (Items 32 and 33). A change made to any B&R number or B&R dollar amount requires re-entry of all B&R numbers and their corresponding B&R dollars.

If government share, awardee share, and total (Item 29, 30 and 31) are not entered, they will remain as they currently exist on the database.

3. All five fields government share, awardee share, total, B&R number, and B&R dollars (items 29, 30, 31, 32 and 33).

## **ITEM 29      GOVERNMENT SHARE (DOE Face Value)**

For the basic award, enter the total dollar amount of DOE's share of the award amount. For a modification, enter the amount of increase or decrease to the current value. PADS will calculate the resultant value.

**NOTE:** Government Share for Contracts with Options excludes amounts associated with unexercised options.

Government Share for Letter Contracts is the estimated value of the definitized contract.

Government Share for Management and Operating contracts is the estimated value for the period of performance when first awarded or when extended.

### **Initial "000" Award**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
500,00		500,000	AA01	200,000

Contract action awarded for a 3-year period for a total estimated cost to the Government of \$500,000. Funds obligated at the time of initial award \$200,000. There is no awardee share.

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
300,00		300,000	AA01	300,000

Contract action awarded for a 3-year period for a total estimated cost to the Government of \$300,000. Funds obligated at the time of initial award is full funding of \$300,000. There is no awardee share.

### **Modification - Mod Greater than "000"**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
			AA01	100,000

The contract action was initially executed for \$500,000; obligated dollars were \$200,000. (See previous example) An incremental funding modification is awarded for \$100,000. This action has no effect on the Government share of the award; therefore, Item 29 is left blank.

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
50,000		50,000	AA01	50,000

The contract action was initially executed for \$300,000; obligated dollars were \$300,000. An increase in scope modification is awarded for \$50,000, and dollars obligated for the mod is \$50,000. Item 29 is filled in with \$50,000 because of an increase of the Government share.

### **ITEM 30      AWARDEE SHARE**

For the basic award, enter the total dollar amount of the awardee's share of the award amount, if none, leave blank. For a modification, enter the amount of increase or decrease to the current awardee share value. PADS will calculate the resultant value.

### **Initial "000" Award**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
250,000	75,000	325,000	AA01	100,000

An action awarded for a 3-year period for a total estimated cost to the Government of \$250,000, a total estimated cost to the awardee of \$75,000, and the Government funds obligated at time of award are \$100,000. The total estimated cost of the award is \$325,000.



29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
400,00	25,000	425,000	AA01	400,000

An action awarded for a 3-year period for a total estimated cost to the Government of \$400,000, a total estimated cost to the awardee of \$25,000 and the funds obligated of the Government are \$400,000. The total estimated cost of the award is \$425,000.

### **Modification - Mod Greater than "000"**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
	-5,000	-5,000	AA01	150,000

The award was initially executed with \$75,000 awardee share. A modification is executed that decreases the awardee share-by \$-5,000 and incrementally funds the award for \$150,000.

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
100,000	2,000	102,000	AA01	100,000

The award was initially executed for \$400,000 Government share, \$25,000 awardee share, and obligated dollars of \$400,000. A modification is executed that is an increase in scope of \$100,000 to the Government, \$2,000 to awardee, and obligations increased \$100,000.

### **ITEM 31      TOTAL (Total Contract Value)**

Enter the sum of Items 29 and 30 showing the total award amount. (Example: 150000)

### **Initial "000" Award**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
105,000	5,000	105,000	AA01	50,000

An action awarded for 3-year period for \$100,000 Government share, \$5,000 awardee share, and Government funds obligated is \$50,000. The total contract value is \$105,000.

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
50,00	10,000	60,000	AA01	50,000

An action awarded for 3-year period for \$50,000 Government share, \$10,000 awardee share, and Government funds obligated is \$50,000. The total contract value is \$60,000.

### **Modification - Mod Greater than "000"**

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
			AA01	50,000

The award was initially executed for a total of \$105,000, and dollars obligated at the initial award were \$50,000. An incremental funding modification is awarded for \$50,000 and does not change award value.

29. Government Share	30. Awardee Share	31. Total	32. B&R No.	33. B&R Dollars
15,000		15,000	AA01	15,000

The award was initially executed for a total value of \$60,000 and dollars obligated were \$50,000. An increase in scope modification is issued for \$15,000 and dollars obligated for the modification are \$15,000. This increases the contract value by \$15,000.

### **ITEM 32      B&R NUMBER**

Enter the valid B&R (Budget and Reporting) number (maximum nine characters) (Item 26 on DOE F 4200.33) for the FY funds obligated by this award action. If there are more B&R numbers than the three spaces provided, use the IPAR Supplement (DOE Form 4200.41).  
(Example: HA0502)

### **ITEM 33      B&R DOLLARS**

Enter the amount of obligated funds for each B&R number in IPAR Item 32 for this award.  
(Example: 25000)

## **GUIDANCE ON COMPETITION**

The competition data elements are required on a mod-by-mod-basis. The following guidance is provided to assist you in filling out the IPAR for modifications.

- A. Modifications within the scope of an existing contract shall carry the same competitive/non-competitive designation as the original contract award. Therefore, data reported in Items 34, 37, 40, 43 and 46 for modifications within scope must be the same as the basic award.

If the modification being executed is for new work, i.e., outside the scope of the original contract, the modification should be reported as noncompetitive in Items 34, 37, 40, 43 and 46.

The competitive/noncompetitive coding of a modification issued subsequent to a new work modification (outside the original scope) should be judged on the basis of predominance of the work being modified, i.e. original scope of work or the new work; whichever is the predominant work being modified or changed.

**EXAMPLE:** Original Award is Competitive

<b>MOD NUMBER</b>	<b>MOD DESCRIPTION</b>	<b>VALUE</b>	<b>OBLIGATIONS</b>	<b>COMP/ NON-COMP</b>
A000	Contract Value	\$2,500,000	\$500,000	Comp
A001	Original Scope		\$200,000	Comp
A002	Original Scope		\$300,000	Comp
A003	Original Scope		\$400,000	Comp
A004	Outside Original Scope	\$50,000		Non-Comp
A005	Original Scope	\$100,000		Comp
A006	Original Scope	\$300,000		Comp
A007	Outside Original Scope	\$35,000		Non-Comp

- B. For orders against indefinite delivery contracts, GSA contracts, basic ordering agreements, and other agency contracts, data reported in Items 34, 37, 40, 43 and 46 for orders should follow the same competitive designation as the original award or other agency contract. (GSA has stated that close to 100% of their Federal Supply Schedule awards are competitively awarded.)

**ITEM 34**      **CICA APPLICABILITY**

**CODE**      **DEFINITION**

**1**      **Pre CICA**

Enter this code if the action resulted from a solicitation issued before April 1, 1985 irrespective of the award date. Modifications within the original scope of work of such awards are reported as PRE-CICA.

In the case of a modification after April 1, 1985, for work outside the original scope of a PRE-CICA contract, CICA is applicable to such a modification.

**2**      **Post CICA**

Enter this code if the new award or modification resulted from solicitations issued on or after April 1, 1985.

**3**      **Simplified Acquisition Procedure**

Enter this code if this action is a simplified acquisition pursuant to procedures in FAR Part 13. (Imprest funds are excluded)

Awards under Commercial items test program pursuant to FAR 13.6 are to be reported as code 4.

**4**      **Commercial Items Acquisition Under Test Program**

Enter this code if this action is for commercial items exceeding the simplified acquisition threshold of \$100,000 but not over \$5,000,000 when the simplified acquisition procedures in FAR Subpart 13.5 are used and Clauses at 52.212 are included in the contract.

**ITEM 35**      **TYPE OF BUSINESS**

**CODE**            **DEFINITION**

**A11**            **Small Business - 8(a)**

A small disadvantaged business receiving an award through the Small Business Administration 8(a) program. This should include 8(a) awards that are made in the HUBZone Program.

**A22**            **Small Business - Direct Disadvantaged**

A small disadvantaged business receiving an award directly. Include in this code HUBZone small disadvantaged business concerns and Indian reservations.

**A33**            **Small Business - Other**

A small business that is not disadvantaged.

**B11**            **Large Business - Minority**

A large business that is at least 51 percent owned by one or more individuals of a minority group.

**B22**            **Large Business – Other**

A large business that is not 51 percent owned by one or more individuals of a minority group.

**C1A**            **Historically Black College/University or Minority Institution (HBCU/MI)**

An educational institution classified as an HBCU or MI. (For listing of HBCU's click here to link to the list for Minority Institutions and HBCU's) (<http://www.ed.gov/ocr/minorityinst.html>).

**C1G      Educational Institution**

An award to any educational institution, including but not limited to, universities, colleges, schools, or other organizations of learning. This excludes Historically Black Colleges and Universities/Minority Institutions, which should be reported as C1A, and entities outside the U.S. and its outlying areas which should be reported as E1N.

**C2G      Hospital**

An award to any medical organization, including but not limited to, hospitals, medical centers, clinics and laboratories. This includes all hospitals regardless of ownership.

**C3G      State/Local Government**

An award to state or local government, excluding educational institutions and hospitals.

**C3N      Non-Profit Organizations**

An award to any other organization that is neither organized for profit nor owned by a state or local government, including but not limited to, nonprofit research organizations. This excludes educational institutions and hospitals.

**C4N      JWOD Non-Profit Agency**

An organization functioning as a non-profit agency for blind or severely handicapped.

**E1N      Foreign Contractor**

An award to a source outside the US and its outlying areas or if the award is to a foreign government (or any agency or instrumentality thereof.)

**E2N      Domestic Contractor Performing Out of US**

An award to a source inside the US and its outlying areas, but where the principal

place of performance will be outside the US and its outlying area.

**F1N**      **Federal Prison Industries (FPI)**

Self-explanatory

**F2N**      **Other Federal Government**

Any Federal agency other than Federal Prison Industries.

**ITEM 36**      **TYPE OF AWARD**

**CODE**      **DEFINITION**

**A**      **Fixed Price Redetermination**

Fixed Price Contract with prospective price redetermination provides for (a) a firm fixed price for an initial period of contract deliveries or performance and (b) prospective redetermination, at a stated time or times during performance, of the price for subsequent periods of performance.

**J**      **Firm Fixed Price**

Provides for a price that is not subject to any adjustment on the basis of the contractor's cost experience in performing the contract.

**K**      **Fixed Price Economic Price Adjustment**

Provides for upward and downward revision of the stated contract price upon the occurrence of specified contingencies.

**L**      **Fixed Price Incentive**

Provides for adjusting profit and establishing the final contract price by a formula based on the relationship of final negotiated total cost to total target cost.

**M**                    **Interagency/International Agreement**

An award between DOE and other Federal agencies, a foreign government or international organization.

**O**                    **Cost No Fee Special Research Contract**

Special research contract with non-profit or educational institutions.

**P**                    **No Funds**

An award not involving equipment or obligation of Federal funds, e.g., terms and conditions only.

**R**                    **Cost Plus Award Fee**

A cost-reimbursement contract that provides for a fee consisting of (a) a base amount (which may be zero) fixed at inception of the contract and (b) an award amount based upon a judgmental evaluation by the government, sufficient to provide motivation for excellence in contract performance.

**S**                    **Cost No Fee**

Cost-reimbursement contract in which the contractor receives no fee.

**T**                    **Cost Sharing**

Cost-reimbursement contract in which the contractor receives no fee and is reimbursed only for an agreed upon portion of its allowable costs.

**U**                    **Cost Plus Fixed Fee**

A cost-reimbursement contract that provides for payment to the contractor of a negotiated fee that is fixed at the inception of the contract.



**V**                    **Cost Plus Incentive Fee**

A cost-reimbursement contract that provides for an initially negotiated fee to be adjusted later by a formula based on the relationship of total allowable costs to total target costs.

**Y**                    **Time and Materials**

Provides for acquiring supplies or services on the basis of (1) direct labor hours at specified fixed hourly rates that include wages, overhead, general and administrative expenses, and profit and (2) materials at cost, including, if appropriate, material handling costs as part of material costs.

**Z**                    **Labor Hours**

A variation of the time-and-materials contract, differing only in that materials are not supplied by the contractor.

**ITEM 37**                    **NUMBER OF OFFERS**

Enter the code that represents the range for the actual number of offers/bids received in response to the solicitation.

<b><u>CODE</u></b>	<b><u>NUMBER</u></b>
A	1
B	2-5
C	6-10
D	11-15
E	16-20
F	21-50
G	Over 50

**ITEM 38**                    **SMALL, SMALL DISADVANTAGED, AND WOMEN OWNED BUSINESS SUBCONTRACTING PLAN**

Check the block marked "Yes" if the contract has a subcontracting plan covering small, small disadvantaged, and woman owned business concerns. Check the block marked "No" if a small, small disadvantaged and woman owned business subcontracting plan is not included in the

contract.

**ITEM 39**      **SAFETY AND HEALTH CLAUSE**

Check the block marked "Yes" if there is a safety and health clause in the contract award. Check the block marked "No" if a safety and health clause is not included in the contract award.

**ITEM 40**      **COMPETITIVE SOLICITATION PROCEDURES**

**CODE**      **DEFINITION**

**A**      **Full and Open Competition - Sealed Bid**

A competitive procedure to be used when time permits for solicitation, submission, and evaluation of sealed bids; and award is based on price and other price-related factors; it is necessary to conduct discussions; and, there is a reasonable expectation of receiving.

**B**      **Full and Open Competition - Competitive Proposal**

A competitive procedure, which permits negotiation through the use of competitive proposals when sealed bidding is not appropriate.

**C**      **Full and Open Competition - Combination of Competitive Procedures**

Allows the Government the benefits of sealed bidding when adequate specifications are not available. This is referred to as two-step sealed bidding.

**D**      **Architect-Engineer**

A competitive solicitation procedure that involves selection of sources for A/E contracts in accordance with PL. 92-582, (40 U.S.C. 541 et seq.)

Selection of source for A/E contracts shall be in accordance with the A/E competitive procedure rather than sealed bidding or competitive proposals.

**E**                    **Basic Research**

A competitive solicitation procedure where award results from (i) a broad agency announcement that is general in nature identifying areas of research interest, and (ii) a peer or scientific review is required.

**F**                    **Multiple Award Schedule**

A competitive solicitation procedure for an award of a multiple award schedule or an order against a multiple award schedule.

When reporting orders against GSA multiple award schedule contracts, Item 40 must be code F.

**G**                    **Alternate Sources**

A competitive solicitation procedure, which provides for full and open competition after exclusion of sources.

**K**                    **Set-Aside**

Use this code for an action that resulted from the use of procedures for set-asides pursuant to FAR. Also use this code for 8(a) contract awards or HUBZone set-aside awards that were competed pursuant to FAR. Report sole 8(a) contract awards or sole source HUBZone awards under code L.

**L**                    **Other Than Full and Open Competition**

Use this code when the action resulted from the use of other than full and open competition. When code L is used, Item 43 must be entered. Sole source actions pursuant to the SBA 8(a) Contract Award Program or HUBZone program should be coded L in Item 40 and M in Item 43. Competed 8(a) contract awards or HUBZone set-aside awards should be coded as K.

**ITEM 41**        **WOMAN OWNED BUSINESS**

Check the block marked "YES" if the contractor is certified as a woman-owned business. Otherwise, check the block marked "NO".

**ITEM 42**      **SUBJECT TO LABOR STATUTES**

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
A	Walsh-Healey Act
C	Service Contract Act
D	Davis-Bacon Act
E	Not subject to Walsh-Healey, Service Contract or Davis-Bacon Acts

If code "D" is used, the Product and Service Code must begin with Y or Z.

**ITEM 43**      **COMPETITION EXEMPTION AUTHORITY**

<b><u>CODE</u></b>	<b><u>DEFINITION</u></b>
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<b>A</b>	<b><u>Unique Source</u></b>
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One source or supplier with unique capabilities.

<b>B</b>	<b><u>Follow-on Contract</u></b>
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Continued development or production of a major system or highly specialized equipment available from the original source when award to any other source would result in (1) substantial duplication of cost to the Government, or (2) unacceptable delays in fulfilling the requirements. (Primarily used at Department of Defense). A new procurement (whether by separate new contract or a modification outside the scope of the original contract) placed with a particular contractor to continue a specific program, where placement was necessitated by prior acquisition decisions.

<b>C</b>	<b><u>Unsolicited Research Proposal</u></b>
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Acceptance of an unsolicited research proposal available from one source demonstrating a unique and innovative concept.

<b>D</b>	<b><u>Patent/Data Rights</u></b>
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Existence of limited rights in data, patent rights, copyrights, or secret processes;

control of basic raw material, or similar circumstances.

**E**                    **Utilities**

Acquiring electric power or energy, gas (natural or manufactured), water, or other utility services when only one supplier can furnish services or when the contemplated contract is for construction of a part of a utility system and the utility company itself is the only source available to work on the system.

**F**                    **Standardization**

Agency Head has determined only specific makes and models of technical equipment and parts will satisfy agency's needs for additional units or replacement items and only one source is available.

**G**                    **Only One Source-Other**

Any reason not covered in codes A through F above for selection of only one source.

**H**                    **Urgency**

An unusual and compelling urgency precludes full and open competition and delay in award would result in serious injury, to the Government unless the agency is permitted to limit the number of sources from which it solicits bids or proposals.

**J**                    **Mobilization, Essential R&D or Expert Services**

Report this code if the action was justified pursuant to FAR 6.302-3(a)(2)

**L**                    **International Agreement**

Used when the terms of an international agreement or a treaty between the U.S. and a foreign government/international organization, or the written direction of a foreign government reimbursing the agency for the cost of the acquisition of the supplies or services for such government, preclude full and open competition.

**M**                    **Authorized by Statute**

Report this code if this action was justified pursuant to FAR 6.302-5(a)(2)(I). This includes actions pursuant to the SBA 8(a) Contract Award Program or HUBZone program that are sole source.

**NOTE:** SBA 8(a) contract actions that are sole source should be coded M.

**N**                    **Authorized Resale**

Used only for purchases of brand-name commercial items for resale through commissaries or other similar facilities.

**P**                    **National Security**

Used for any acquisition when disclosure of the agency's needs would compromise the national security unless the agency is permitted to limit the number of sources from which it solicits bids or proposals.

**Q**                    **Public Interest**

Used when the agency head determines that it is not in the public interest for the particular acquisition concerned.

**ITEM 44**        **SUPPORT SERVICE**

Check the block marked "Yes" if this procurement award is a support service award; check the block marked "No" if the action is not a support service.

**Technical support services** include, but are not limited to, determining feasibility of design consideration; development of specifications, system definition, system review and reliability analyses; trade-off analyses; economic and environmental analyses, which may be used in DOE's preparation of environmental impact statements; test and evaluation, survey or reviews to improve the effectiveness, efficiency, and economy of technical operations.

**Management support services** include, but are not limited to, analyses of workload and work flow; directives management studies; automated data processing; manpower systems analyses; assistance in the preparation of program plans; training and education; analyses of Department management processes; and any other reports or analyses directed toward improving the

effectiveness, efficiency, and economy of management and general administrative operations.

**Maintenance and operations services** include, but are not limited to, general housekeeping and custodial services, physical security, fire fighting, logistics, and maintenance.

**EXCLUSION** from coverage under these definitions are: Research and Development (R&D) contracts unless the primary purpose of the work under a R&D contract is for technical support services covered by the definition in the first paragraph above.

Also architectural and engineering services which are procured under the Brooks Act guidelines; construction and construction management services; management and operating contracts; and production contracts and services thereunder.

#### **ITEM 45**      **PRODUCT AND SERVICE (P&S) CODE**

Enter the 4-character code to identify the correct type of product or service associated with this award. [Click here to search Product and Service Codes.](#) (This code should be consistent with IPAR Item 57.)

#### **ITEM 46**      **EXTENT COMPETED**

<b><u>CODE</u></b>	<b><u>DEFINITION</u></b>
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<b>A</b>	<b><u>Competed Action</u></b>
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Competitive procedures were used to fulfill the requirement for full and open competition.

Full and open competition was provided for after exclusion of sources, in order to establish/maintain alternative sources or to set-aside a procurement for small business.

Full and open competition was provided for after exclusion of sources to compete 8(a) awards with an anticipated award price (including options) of \$5 million for manufacturing or \$3 million for other acquisitions.

Statutory authorities for other than full and open competition were used and more than one offer was received.

Contract action resulted from a contract awarded prior to CCA that used two-step formal advertising or was negotiated competitively.

Simplified acquisition procedures were used and competition was obtained.

**B**                    **Not Available for Competition**

Awards for utilities (excluding telecommunications) where there is no opportunity for competition.

Brand name commercial products for authorized resale.

Procurement authorized or required by statute to be awarded to a designated source.

Sole source 8(a) program awards. Other contract actions where DOE has determined that there is no opportunity for competition.

**C**                    **Follow-on to Competed Action**

When an action pertains to an acquisition placed with a particular contractor to continue or augment a specific competed program where such placement was necessitated by prior acquisition decisions.

**D**                    **Not Competed**

Use this code when codes A, B, and C DO NOT APPLY.

**ITEM 47**        **HISPANIC INSTITUTION**

Yes - An institution of higher learning where at least 25% of the student population is Hispanic.

No - Not an institution of higher learning where at least 25% of the student population is Hispanic.

Data entered must be in accordance with the Department of Education's current list of U.S. Accredited Postsecondary Minority Institutions. [Click here to link to the list on Education's home page.](http://ed.gov/offices/OIIA/Hispanic/hsi/hsi9798/hsitable.html) (http://ed.gov/offices/OIIA/Hispanic/hsi/hsi9798/hsitable.html)

Do not code this item as Yes unless Education's list shows the percentage of Hispanic students to be at least 25%.



**ITEM 48**      **NAIC CODE**

Enter the 6-digit code from the North American Industry Classification Code Manual. If more than one code applies, report the code that best identifies the product or service acquired and represents the predominance of dollars for the contract action. [Click here to link to SBA's home page with the list of NAIC's.](http://sba.gov/regulations/121/naicsfinal.pdf) (<http://sba.gov/regulations/121/naicsfinal.pdf>)

**ITEM 49**      **EXTENT OF COMPETITION**

Applies to PRE-CICA actions only.

**CODE**      **DEFINITION**

**AA**      **Two-step Formal Advertising**

A method of procurement designed to promote the maximum competition practicable when available specifications are not sufficiently definite to permit a formally advertised procurement.

**AC**      **Other Formal Advertising**

A rigid process of obtaining sealed bids, opening them in public, and then awarding a contract to the responsive, responsible bidder whose bid will be most advantageous to the Government, price and other factors considered.

**BP**      **One Acceptable Offer Following Competition**

Following competition, only one acceptable offer is received.

**BX**      **Other Negotiated Competitive**

Any negotiated competitive procurement not covered by another category. A negotiated procurement that (1) is initiated by a Request for Proposal, which sets out the Government's requirements and the criteria for evaluation of offers; (2) contemplates the submission of timely proposals by the maximum number of possible offerors; (3) usually provides discussion with those offerors found to be within the competitive range; and (4) concludes with the award of a contract to the one considered most advantageous to the Government. (41 CFR 1-3)

**CE**                    **Follow-on After Competition**

A follow-on contract is a new procurement (whether by separate new contract or a modification outside the scope of the original contract) placed with a particular contractor to continue a specific program, where placement was necessitated by prior decisions, used if selection of the contractor at the beginning of the program was based on competition.

**CG**                    **Unsolicited Proposal**

A written offer to perform a proposed task or effort, initiated and submitted to the Government by a prospective contractor without a solicitation by the Government.

**CI**                    **Utilities**

Procurement of public utility services, such as electricity, gas, steam, water and sewerage, including facilities on both sides of the delivery point for supply of these services.

**CQ**                    **Other Negotiated Noncompetitive**

Any negotiated, noncompetitive procurement not covered by another category. Circumstances under which one source has exclusive capability to perform the work within the time required and at reasonable prices e.g., by reason of experience, specialized facilities, or technical competence. A justification (Justification for Noncompetitive Procurement) is required for limiting competition to that source.

**DA**                    **Directed Source (Federal Prison Industries)**

Procurement with Federal Prison Industries.

**DC**                    **Other Federal Government**

Procurement with another Federal Agency.

**ITEM 50**      **COMMERCIAL ITEM**

Yes - Report "Yes" if the contract action is for a commercial item procured pursuant to the procedures in FAR Part 12 (Acquisition of Commercial Items) and clause 52.212-4 was included in the contract.

No - Report "No" if the action is not for a commercial item procured pursuant to FAR 12.

**ITEM 51**      **DIRECTED PROCUREMENT**

Check the block marked "Yes" if a foreign government or international organization bearing any part of the cost of the action. (Primarily used at Department of Defense.) Otherwise mark "No".

**ITEM 52**      **SYNOPSIS REQUIREMENT**

**CODE**      **DESCRIPTION**

- |   |  |
|---|--|
| 1 | Synopsized prior to award                              |
| 2 | Not synopsized due to urgency                          |
| 3 | Not synopsized for other reason                        |
| 4 | Not synopsized under the SBA/OFPP Waiver Pilot Program |

**ITEM 53**      **SMALL BUSINESS COMPETITIVENESS DEMONSTRATION PROGRAM**

Mark "Yes" for any contract action awarded to U.S. business concerns under the Demonstration Program for the four designated industry groups or the 10 targeted industry categories. Mark "No" if the award is not in this program. If "no", items 56, 59, and 61 are not entered.

**ITEM 54**      **OSTI DELIVERABLE**

This code is used by the Office of Scientific and Technical Information (OSTI) to identify required scientific/technical reporting deliverables. Enter the 2-character code that closely corresponds to the scientific/technical reporting deliverables specified on the contract "Reporting Requirements Checklist" or the statement of work. The code should not be used to identify any other reporting requirements (e.g., it should not be used for management or financial reporting, such as project status reports).

**CODE**              **Description**

AD	Final Report
AU	Conference Proceedings (scientific/technical conferences ONLY)
AZ	No Technical Information Deliverable Required
CO	Conference Paper
DD	Other (e.g. reports at the end of a phase or task, scientific/technical videos or movies, etc)
YY	Computer Software
YZ	Computer Software Plus Final Report

**ITEM 55**      **TRADE DATA - COUNTRY OF MANUFACTURE**

If acquiring supplies or equipment manufactured, mined, or grown in a foreign country, enter the country code. If a service is performed by a foreign contractor enter the code for that country. See Appendix D for Country Codes.

**ITEM 56**      **EMERGING SMALL BUSINESS**

Mark "Yes" for an award to a business concern whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry Classification System (NAICS) assigned to the contracting opportunities. (Size standards in FAR 19.) Mark "No" if the award is not emerging small business. Leave blank if Item 53 is "No".

**ITEM 57**      **RESEARCH AND DEVELOPMENT**

Check the block marked "Yes" if 50 percent or more of the funding on this award is considered to be for research and development. Otherwise, check "No". This code should be consistent with the product and service code in Item 45.

**ITEM 58**      **COGNIZANT DOE OFFICE**

The contracting activity assigned lead office responsibility for all DOE indirect cost matters relating to a particular organization receiving DOE contract and financial assistance awards.

The responsible office is determined by predominance of DOE business with the specific contractor. This information is available from the contractor or through PADS Report 707, Instruments that Require Annual Indirect Rate Determination.

**ITEM 59**      **SIZE OF SMALL BUSINESS**

Enter the code that corresponds to the range of the number of employees or the range of the average annual gross revenue for the small business contractor receiving the award. Leave blank if Item 53 is "No".

**NUMBER OF EMPLOYEES**      or      **AVERAGE ANNUAL GROSS REVENUE**

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>	<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
A	50 or less	M	\$1,000,000 or less
B	51 - 100	N	\$1,000,001 - \$2,000,000
C	101 - 250	P	\$2,000,001 - \$3,500,000
D	251 - 500	R	\$3,500,001 - \$5,000,000
E	501 - 750	S	\$5,000,001 - \$10,000,000
F	751 - 1,000	T	\$10,000,001 - \$17,000,000
G	Over 1,000	Z	Over \$17,000,000

**ITEM 60**      **GOVERNMENT PROPERTY**

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
F	Furnished
N	None
P	Purchased
B	Both Furnished and Purchased
R	Removed

**ITEM 61**      **COGNIZANT FEDERAL AGENCY**

The agency having the predominate financial interest in the organization. The CFA is responsible for performing a designated function on behalf of all Federal agencies.

This information is available from the contractor or from PADS Report 707, Instruments that Require Annual Indirect Rate Determination.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
DA	Department of Agriculture
DC	Department of Commerce
DD	Defense Contract Mgt Command
DE	Department of Education
DG	Department of Energy
DH	Department of Housing & Urban Development
DI	Department of Interior
DJ	Department of Justice
DL	Department of Labor
DN	Office of Naval Research
DP	Environmental Protection Agency
DS	National Science Education
DT	Department of Transportation
DX	Other
R1	HHS Northeast Office, New York
R2	HHS Mid-Atlantic Office, Atlanta
R3	HHS Central States Office, Dallas
R4	HHS Eastern Office, San Francisco

**ITEM 62**      **EMERGING SMALL BUSINESS RESERVE AWARD**

Mark "Yes" if the action resulted from an award that was reserved for a emerging small business concern. Mark "No" if not emerging small business. (See the Pub. L. 100.656, Business Opportunity Development Reform Act of 1988, Section 712(b)(2) for further definition.) Leave blank if Item 53 is "No".

**ITEM 63**      **BUNDLING OF CONTRACT REQUIREMENTS**

Yes - Use this code when the value of this contract, including all options, was expected to exceed \$5,000,000 and the contracting officer determined this contract was a result of consolidating two or more requirements for supplies or services previously solicited, provided, or performed under separate small contracts, into a solicitation for a single contract likely to be unsuitable for award to a small business concern. See FAR 19.2, FAR Subpart 4.6, and FAR Subpart 2.101.

No - Use this code when the contract is not a bundling requirement.

**ITEM 64**      **HUBZone SMALL BUSINESS CONCERN**

Yes - Report this code if the award is to a HUBZone small business concern. See FAR for definition of HUBZone small business concern.

No - Report this code if the award is not to a HUBZone small business concern.

**ITEM 65**      **HUBZone PROGRAM**

**CODE**      **DEFINITION**

**A**      **HUBZone Sole Source**

Report this code if the award was made through noncompetitive procedures to a HUBZone small business concern.

**B**      **HUBZone Set-Aside**

Report this code if the award was made to a HUBZone small business concern after being competed among only HUBZone small business concerns.

**C**      **HUBZone Price Evaluation Preference Award**

Report this code if the award was made through full and open competition with award to a HUBZone small business concern as a result of the HUBZone price evaluation preference.

**D**                    **Combined HUBZone Preference/Small Disadvantaged Business Price Adjustment**

Report this code if the award was made through full and open competition after the application of both the HUBZone Price Evaluation Preference and the Small Disadvantaged Business Price Evaluation Adjustment.

**E**                    **Not Applicable**

Report this code if no HUBZone preference program was used.

**ITEM 66**        **HUBZone PRICE EVALUATION PREFERENCE PERCENT DIFFERENCE**

If the price evaluation preference was used and resulted in an award to a HUBZone small business concern, report the percent difference between the award price and the lowest priced offer from a responsive, responsible non-small business. Calculate the percentage by dividing the difference (award price minus the lowest priced large business) by the lowest priced offer from a non-small business. If the price evaluation preference was not used or not necessary, report 00. Report in whole percents, i.e., 5.2 should be reported as 05; 5.8 should be reported as 06. However, any percent between 00.1 and 1 should be reported as 01, i.e., 0.2 should be reported as 01.

**ITEM 67**        **SMALL DISADVANTAGED BUSINESS PROGRAMS**

**CODE**            **DEFINITION**

**A**                    **8(a) Contract Award**

Report this code for actions with the Small Business Administration pursuant to FAR 19.8, or directly with an 8(a) contractor pursuant to a memorandum of understanding between SBA and the Department.

**B**                    **8(a) with HUBZone Priority**

Report this code when the primary preference program was 8(a) and the priority was given to the 8(a) concern that was also a HUBZone small business concern.



**C**                    **SDB Set-Aside**

Report this code for a small disadvantaged business award made pursuant to FAR 19.

**D**                    **SDB Price Evaluation Adjustment**

Report this code for an award made to a small disadvantaged business as a result of the application of a price evaluation adjustment pursuant to FAR 19.11.

**E**                    **SDB Participation Program**

Report this code for an award made as a result of the application of the solicitation's evaluation factor or subfactor for the participation of SDB concerns in performance of the contract pursuant to FAR 19.12.

**F**                    **Not Applicable**

Report this code if no SDB program was used.

**ITEM 68**            **SMALL DISADVANTAGED BUSINESS PRICE EVALUATION  
ADJUSTMENT PERCENT DIFFERENCE**

If the award was made to a small disadvantaged business as a result of a price evaluation adjustment, report the percent difference between the award price and the lowest priced offer from a responsive, responsible non-SDB, or an SDB that waives the price evaluation adjustment. Calculate the percentage by dividing the difference (award price minus the lowest priced offer from a non-SDB) by the lowest priced offer from a non-SDB business. If price evaluation adjustment was not used, report 00. Report whole percents, i.e., 5.2 should be reported as 05; 5.8 should be reported as 06. However, any percent between 00.1 and 1 should be reported as 01; i.e., 0.2 should be reported as 01. If the small disadvantaged business also received a HUBZone price evaluation preference, report the HUBZone price evaluation in Item 63 and the small disadvantaged business price evaluation adjustment in Item 65.

**ITEM 69**      **OTHER PREFERENCE PROGRAMS**

**CODE**      **DEFINITION**

**A**      **Directed to JWOD Nonprofit Agency**

Report this code for an award directed to a nonprofit agency employing people who are blind or severely disabled (referred to as a JWOD Participating Nonprofit agency) for an item(s) on the Procurement List pursuant to FAR.

**B**      **Small Business Set-Aside**

Report this code for a small business set-aside (including Small Business Innovation Research (SBIR)) or a partial small business set-aside.

**D**      **No Preference Program or Not Listed**

Report this code if the award is not made pursuant to a listed preference program, or a preference program is not listed or in Item 65 or Item 67.

**E**      **Very Small Business Set-Aside**

Report this code if the acquisition is between \$2,500 and \$50,000 and was awarded to a very small business concern as a result of using set-aside procedures under the very Small Business Pilot program set forth in FAR 19.9.

**ITEM 70**      **EPACT**

Yes – Action applies to the Energy Policy Act of 1992 (Pub. L. 102-486). (DEAR 917.70)

No – EPACT does not apply.

**ITEM 71**      **EPACT VALUE**

Enter amount of the funding action that will be used to further the goals of the Energy Policy Act. Funding may be equal to or less than the obligation amount funded.

## **ITEM 72**      **PERFORMANCE BASED CONTRACT**

Yes - This is a performance-based contract

No - This is NOT a performance-based contract

Performance-Based Service Contracts (PBSC) defines work in measurable, outcome - oriented terms. PBSCs do not use imprecise or broad statements of work; prescribe how to perform the work; or specify job categories or personnel qualifications (i.e., resumes). FAR 37.601 define the minimum essential elements of a PBSC. A PBSC:

- A      Describes the requirements, in terms of results required rather than the method of performance of the work;
- B      Uses measurable performance standards (terms of quality, timeliness quantity, etc.) and quality assurance surveillance plans (see 46.103 (a) and 46.401 (a));
- C      Specifies procedures for reductions of fee or for reductions to the price of a fixed-price contract when services are not performed or do not meet contract requirements (see 46.407)
- D      Performance incentives where appropriate.

For reporting purposes, a minimum of 80% of the anticipated obligations under the procurement action must meet the above requirements.

## **ITEM 73**      **VETERAN OWNED SMALL BUSINESS (VOSB)**

### **CODE**              **DEFINITION**

#### **A**              **Service Disabled Veteran Owned Small Business**

Report this code if the concern is a small business owned by a service disabled veteran (s).

#### **B**              **Veteran Owned Small Business**

Report this code if the concern is a small business owned by a veteran(s).

**C**                    **Not Veteran Owned Small Business**

Report this code if the codes above are not applicable.

**ITEM 74**            **MULTIPLE AWARD CONTRACT FAIR OPPORTUNITY**

**A**                    **Fair Opportunity Process**

Report this code when the delivery/task order award was made pursuant to a process that permitted each contract awardee a fair opportunity to be considered.

**B**                    **Urgency**

Report this code when agency need is so urgent that providing fair opportunity would result in unexpected delays.

**C**                    **One/Unique Source**

Report this code when only one contract awardee is capable of providing the supplies or services at the level or quality required because the supplies or services are unique or highly specialized.

**D**                    **Follow on Contract**

Report this code when the order was issued on a sole source basis in the interest of economy and efficiency as a logical follow on to an order already issued under the contract, provided all awardees were given a fair opportunity to be considered for the original order.

**E**                    **Minimum Guarantee**

Report this code when it was necessary to place an order to satisfy a minimum amount guaranteed to the contractor.

## **ITEM 75**      **OTHER AGENCY CODE**

Enter the 4-digit code that identifies the code of the agency that awarded the Government Wide Acquisition Contract (GWAC) or Multi-Agency Contract or Inter-Service Support Agreements.

Government Wide Acquisition Contracts for information technology are contracts established in accordance with section 5112(e) of the Clinger-Cohen Act (Public Law 104-106) for the procurement of information technology.

Multi-Agency Contracts are contracts established in accordance with section 5124(a)(2) of the Clinger-Cohen Act (Public Law 104-106) for information technology.

Inter-Service Support Agreements (ISSAs) are arrangements between agencies to provide commercial activities on a reimbursement basis through contracts other than GWACs or Multi-Agency contracts. [Click here for the agency codes from the Procurement Home Page.](#)

**NOTE:** The next four data elements are entered only if an award is done by DOE on behalf of the Department of Defense for information technology buys. If Item 75, Other Agency Code is entered and identifies DOD with the code beginning with 17, 21, 57, 96CE, or 97, and the product or service code entered in Item 45 above begins with or is equal to 70, D3, H170, H270, H370, H970, J070, K070, L070, N070, U012, or W070, then the following four elements are required:

## **ITEM 76**      **FUNDING AGENCY – DODAAC**

If the award being reported in Funding Agency (Item 46A) is for DOD (begins with 17, 21, 57, 96CE, or 97) enter the six digit Department of Defense Activity Address Code (DODAAC).

## **ITEM 77**      **FUNDING AGENCY – COMMERCIAL ITEM CATEGORY**

<b><u>CODE</u></b>	<b><u>DEFINITION</u></b>
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<b>A</b>	<b><u>Commercially Available Off-The-Shelf Item</u></b>
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Report this code is the item meets the definition of commercial item in FAR 2.101, does not require any modifications and is available in the commercial marketplace.

**B**                    **Other Commercial Item**

Report this code if the item meets the definition of commercial item in FAR 2.101, but requires minor modifications, or is not yet available in the commercial marketplace, but will be in time to meet our needs.

**C**                    **Non-Developmental Item**

Report this code if the item meets the definition of a non-developmental item in FAR 2.101 (1) any previously developed item of supply used exclusively for governmental purposes by a Federal Agency, state or local government, or foreign government with which the United States has a mutual defense cooperation agreement, (2) is used as a paragraph (3) but requires only minor modifications or modifications of a type customarily available in the commercial market.

**D**                    **Noncommercial Item**

Report this code if the item does not meet the definitions of commercial item or non-developmental item in FAR 2.101.

**E**                    **Commercial Service**

Report this code if the item meets the definitions of commercial service in FAR 2.101 (services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standard commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for a specific services performed).

**F**                    **Noncommercial Service**

Report this code for all other services.

**ITEM 78**      **FUNDING AGENCY – REASON OF PURCHASE**

**CODE**                      **DEFINITION**

**A**                      **Convenience and Economy**

Report this code if the Department of Defense program office has certified that the purchase was made under the Economy Act.

**B**                      **Expertise**

Report this code if the Department of Defense programs office has certified that the servicing agency is better qualified to enter into and administer the contract due to capabilities or expertise at the servicing agency not found with the Department of Defense.

**C**                      **Specifically Authorized**

Report this code if the Department of Defense program office has certified that the servicing agency is specifically authorized by law or regulation to purchase the goods or services on behalf of other agencies.

**D**                      **Authorized by Executive Order**

Report this code if the Department of Defense program office has certified that the purchase is specifically authorized by the Executive Order.

**E**                      **Modification or Extension**

Report this code if the Department of Defense program office has certified that the purchase is a modification or extension of an existing order under a multiple award contract and meets the criteria in FAR 16.505(b)(2).

**F**                      **Other**

Report this code if the Department of Defense program office has certified a reason not cited above.

**ITEM 79**      **FUNDING AGENCY - CLINGER-COHEN ACT**

- Yes              Report this code if the Department of Defense program office has certified that the information technology purchase meets the planning requirements in 40 USC 1422 and 1423.
- No                Report this code if the Department of Defense program office has not certified that the information technology purchase meets the planning requirements in 40 USC 1422 and 1423.

**ITEM 80**      **NEGOTIATOR CODE**

Enter the 4-character code, which identifies the individual who completed the procurement action. This code is unique to each awarding office for their personnel.

**ITEM 81**      **AWARD ADMINISTRATOR CODE**

Enter the 4-character code, which identifies the person who is responsible for administration of the contract. This code is unique to each awarding office for their personnel.

**ITEM 82**      **CONTRACTING OFFICER CODE**

Enter the 4-character code, which identifies the person duly authorized with contracting officer warrant, who signed the contractual document. This code is unique to each awarding office for their personnel.

**ITEM 83**      **TECHNICAL REPRESENTATIVE NAME**

Enter the name of the person delegated the responsibility to serve as the Government Technical Representative (GTR) by the Contracting Officer (up to 24 characters). Enter last name, first name, and middle initial.



**ITEM 84**      **DELEGATED AWARD ADMINISTRATION OFFICE**

If award audit and/or property administration is delegated, enter the proper 2-character code that identifies the delegated office. If the award is delegated outside DOE, this value must be entered. If this item is entered, Item 85 must be completed.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
01	Washington Procurement Operations Office
02	Chicago Operations Office
03	Oakland Operations Office
04	Albuquerque Operations Office
05	Oak Ridge Operations Office
06	Richland Operations Office
07	Idaho Operations Office
08	Nevada Operations Office
09	Savannah River Operations Office
11	Pittsburgh Naval Reactors Office
12	Schenectady Naval Reactors Office
13	Grand Junction Project Office
16	Portsmouth Project Office
17	Environmental Measurements Laboratory
24	Ohio Field Office
26	National Energy Technology Laboratory
27	Office of River Protection
32	Los Alamos Area Office
33	Kansas City Area Office
34	Rocky Flats Office
36	Golden Field Office
41	Boston Regional Office
43	Philadelphia Regional Office
44	Atlanta Regional Office
45	Chicago Regional Office
48	Denver Regional Office
51	Seattle Regional Office
65	Western Area Power Administration
70	Southeastern Power Administration
75	Southwestern Power Administration
91	Naval Petroleum and Oil Shale Reserves
96	Strategic Petroleum Reserve Office
DA	DCMC (Defense Contract Management Command)
DC	DCAA (Defense Contract Audit Agency)
MO	Management and Operating Contractor
ON	ONR (Office of Naval Research)
OT	Other

**ITEM 85**      **DELEGATION DATE**

Enter the date (MM/DD/YYYY) on which the award administration was delegated. This date must be entered if Item 84 is completed.

**ITEM 86**      **AWARD STATUS**

Enter the 2-character code, which reflects the appropriate status of the contract. These codes are optional for field use. They will not be used by Headquarters to generate reports and thus are not used to determine status of award.

**CODE**              **DESCRIPTION**

AA	Active, contract in performance from award date to completion date.
AX	Payback-Awardee Liability open.
CA	Completion date passed, no final acceptance of deliverables, still open.
CO	Completed with final acceptance of deliverables; closeout action initiated.
RA	Closeout completed. Retirement/aging begun.
RC	Converted to Subcontract.
RD	Retired; file destroyed.

**ITEM 87**      **RETIREMENT/CONVERTED DATE**

Enter the date (MM/DD/YYYY) the completed award was retired, i.e., all deliverables have been received and final payment made; or enter the date a DOE prime contractor was converted to a subcontractor under a prime contract.

**ITEM 88**      **TRANSFER AWARDING OFFICE**

This item is to be blank, unless a contract is to be transferred from one DOE awarding office to another. At the time of a transfer, the transferring office enters the office number (01, 02, etc.) of the awarding office receiving the transferred award.

**ITEM 89**      **SENIOR INVESTIGATOR**

Name of person designated by the awardee to serve as Project Director or Senior Investigator.

**INTERNAL AWARDING OFFICE FIELDS**

**ITEM 90**      **DATE**

10 Digit date field

**ITEM 91**      **DOLLARS**

11 digit dollar field

**ITEM 92**      **TEXT**

110 Character field

**ITEM 93**      **NUMERIC**

30 Digit field

**ITEM 94**      **INTERNAL AWARD OFFICE**

30 Character field

## **INSTRUCTIONS FOR IPAR SUPPLEMENT FORM**

The IPAR supplement, DOE F 4200.41, is used when there are more than three B&R codes and three dollar amounts for the award, and additional space is needed to complete the obligation information for the award, when more than one mod is definitized and additional space is needed. (Further definitions of items below are found in DOE F 4200.40 definitions.)

### **ITEM 1      ADD/CHANGE**

Check "Add" if this is a new basic award or a modification (to an existing award) not previously reported to PADS. Check the block marked "Change" if this award action is a change to award/modification data previously enter into PADS.

### **ITEM 2      AWARD BIN**

This number is the 17-character identifying number to the legal document, which constitutes the agreement between the Department of Energy and the awardee. (See instructions for Item 2, Award Bin, of IPAR - DOE 4200.40.)

### **ITEM 3      MOD NUMBER**

Enter the 4-character modification number that identifies the award document.

### **ITEM 4      AWARD DATE**

Enter the date (MM/DD/YYYY) that the contracting officer signed the award.

### **ITEM 5      B&R NUMBER**

Enter the valid B&R (Budget and Reporting number) (maximum nine characters) for the FY funds obligated by this award action. (Example: HA0205)

**ITEM 6**      **DOLLARS**

Enter the amount of FY obligated dollars on this action for each B&R number (Item 5).

**ITEM 7**      **MOD NUMBER BEING DEFINITIZED**

Enter the modification number (A--- or M---) being definitized that was previously awarded as a unilateral change order, letter modification, or letter contract. (Continued from Item 5 on DOE 4200.40.)

**FINANCIAL ASSISTANCE AWARDS – BY ELEMENT**

**ITEM 1**      **ADD/CHANGE**

Check “ADD” if this is a new basic award or a modification (to an existing award) not previously reported to PADS. Check the block marked “CHANGE” if this award action is a change to an award/modification previously reported to PADS.

**ITEM 2**      **AWARD BIN (BUSINESS INSTRUMENT NUMBER)**

Enter the identifying number to the legal document, which constitutes that agreement between the Department of Energy and the awardee.

Referencing DOE Order 540, "Departmental Business Instrument Numbering System," (12-05-2000).

**Award Business Instrument Number:** The award business instrument number consists of 17 characters and has the following format: DE-AC01-99FE12345. The encoded information in the number is as follows:

- A.    The first and second positions, **DE**-AC01-99FE12345, contain the two-character code assigned by the Federal Procurement Data Center to identify Department of Energy awards.
- B.    The third position contains a dash.

- C. The fourth and fifth positions, DE-AC01-99FE12345, contain a two-character code corresponding to the type of award instrument. (The type of Award Instrument Codes and definitions follow).
- D. The sixth and seventh positions, DE-AC01-99FE12345, identify the responsible awarding office (The Awarding Office codes follow)
- E. The eighth position is a dash.
- F. The ninth and tenth positions, DE-AC01-99FE12345, will contain the last two digits of the fiscal year of the award date of the basic award.
- G. The eleventh and twelfth positions, DE-AC01-99FE12345, contain a two-character code showing the initiating office. Due to Departmental reorganizations, some award business instrument numbers contain codes that are no longer used for new awards.
- H. The thirteenth through seventeenth positions, DE-AC01-995FE12345, will contain a five-digit serial number assigned by the initiating office.

The last seven digits of the award BIN are referred to as the Register Number. This number remains unchanged from initiation through retirement.

### **AWARDING OFFICE**

01	Washington Procurement Operations Office
02	Chicago Operations Office
03	Oakland Operations Office
04	Albuquerque Operations Office
05	Oak Ridge Operations Office
06	Richland Operations Office
07	Idaho Operations Office
08	Nevada Operations Office
09	Savannah River Operations Office
11	Pittsburgh Naval Reactors Office
12	Schenectady Naval Reactors Office
13	Grand Junction Project Office
17	Environmental Measurements Laboratory
24	Ohio Field Office
26	National Energy Technology Laboratory
27	Office of River Protection
32	Los Alamos Area Office
33	Kansas City Area Office
34	Rocky Flats Office

36	Golden Field Office
41	Boston Regional Office
43	Philadelphia Regional Office
44	Atlanta Regional Office
45	Chicago Regional Office
48	Denver Regional Office
51	Seattle Regional Office
65	Western Area Power Administration
70	Southeastern Power Administration
75	Southwestern Power Administration
91	Naval Petroleum and Oil Shale Reserves
96	Strategic Petroleum Reserve Office

## **TYPE AWARD INSTRUMENT**

### **CODE**

### **DEFINITION**

#### **FC**

#### **Cooperative Agreement**

A legal instrument reflecting a relationship between the Federal Government and a State or local government or other recipient whenever - (1) the principal purpose of the relationship is the transfer of money, property, services or anything of value to the State or local government or other recipient to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, or property or services for the direct benefit or use of the Federal Government; and (2) substantial involvement is anticipated between the executive agency, acting for the Federal Government, and the State or local government or other recipient during performance of the contemplated activity.

#### **FG**

#### **Grant**

A legal instrument reflecting a relationship between the Federal Government and a State or local government or other recipient whenever - (1) the principal purpose of the relationship is the transfer of money, property services, or anything of value to the State or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by Federal Statute, rather than acquisition, by purchase, lease, or barter, or property or services for the direct benefit or use of Federal Government; and (2) no substantial involvement is anticipated between the executive agency, acting for the Federal Government, and the State or local government or other recipient during the performance of the contemplated activity.

**FP                    Loan of Property**

The lending of Federal property for a specified period of time, with a reasonable expectation that it will be returned.

**FR                    Repayment Agreement**

Repayment to the Government of the Government's contribution after completion of the award, and the awardee is making a profit from the research. Applies only to the Clean Coal Cooperative Agreements under CFDA 81.096.

**ITEM 3            MODIFICATION NUMBER**

**Award Modification Numbers:** All new basic awards and modifications to an award are identified by a modification number assigned by the awarding office. These modification numbers are not part to the award business instrument number.

- A. The basic award and modifications to each business instrument shall be sequentially numbered by use of a four position alphanumeric code.

The first position shall be a capital letter identifying the type of action as follows:

A - (Amount). An action adding, changing, or deleting financial data that is collected on the IPAR, but not administrative corrections to financial data.

M - (Miscellaneous). An action having no effect on financial data that is collected on the IPAR, including administrative corrections.

- B. The second through fourth positions shall contain a sequential serial number of the modification. For basic awards, enter 000. The next assigned modification number would be 001, 002, etc. These numbers continue in sequence throughout the life of the award.

Examples of modifications:

M001 - first modification to basic award, no effect on financial data.

A002 - second modification to basic award, changes in financial data.

M003 - third modification to basic award, no effect or financial data.



**NOTE:** The mods are numbered sequentially without regard to the "A" or "M" prefix.

**ITEM 4**      **KIND OF AWARD ACTION**

**CODE**      **DEFINITION**

**1A**      **New Definitive Award**

The establishment of a binding legal relationship between the Government and awardee, contractor, or grantee for the purpose of receiving supplies, services, construction, research and development, or providing financial assistance.

**1F**      **Termination by Mutual Agreement**

DOE may terminate grants/cooperative agreements in whole, or in part, when both parties agree that the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds.

**1H**      **Continuation Award**

A financial assistance award authorizing a second or subsequent budget period within an existing project period.

**1M**      **Termination for Default**

The exercise of the Government's contractual right to completely or partially terminate a contract because the contractor's or awardee's actual or anticipated failure to perform its contractual obligations.

**1P**      **Supplemental Agreement - Monetary Action**

The supplemental agreement is an amendment increasing the obligations including increase in funds for current budget period.

**1Q**      **Renewal Award**

A financial assistance award authorizing the first budget period of an extended project period.

**1T**                    **Incremental Funding (Only)**

The obligation of funds to an award containing a total price, estimated cost, or estimated value, periodic installments against prescribed performance goals or objectives. (The modification is normally unilateral with an increase in obligations only). Incremental funding only occurs when funds are obligated incrementally.

**1V**                    **No Cost Time Extension (Only)**

A modification to an award instrument, which extends the period of performance under an award with no increase in the total face value or obligated dollars.

**1W**                    **Administrative Change**

A unilateral modification to an award instrument which changes administrative data; e.g., paying office, technical representative, etc.

**1X**                    **Funding Adjustment to Completed Award**

A modification issued to an award instrument which has been completed wherein funds need to be obligated or deobligated before it can be retired.

**1Y**                    **Other**

Catch all codes used to report modification actions, which did not meet the criteria of the other codes. This code includes revision award actions not otherwise covered by other codes such as terms and conditions of award, increase in funds because of an increase in performance effort, etc.

**TR**                    **Transferred Award**

A financial assistance award that is being transferred from one awarding office to another. The office transferring the award is responsible for transfer modifications.

## **ITEM 5**      **PROCUREMENT REQUEST NUMBER**

Entry of procurement request numbers are not required for PADS. Awards can be reported with procurement request numbers or without. This determination is made at each site/office. To report actions without reporting the procurement request number follow the directions given in A. (following)

To report actions with procurement request numbers, follow directions given in B. (follows A, below)

### **A.      Reporting Awards without a Procurement Request Number**

1.      The actual Procurement Request has not been entered into PADS.
2.      When entering the IPAR, enter a “N” in the first position of Item 5.
3.      Item 6, PR Completion Code must be “YES”.
4.      Any IPAR can be reported without a procurement request except for a transfer of an award between offices.

### **B.      Reporting IPARS with a Procurement Request**

1.      The procurement request (DOE form 4200.33 or 799x) must first be entered and accepted into PADS.
2.      Enter the 16-character number of the procurement request that authorized this award (e.g., 01-99FE12345.000) from block 3 of the DOE Form 4200.33.
3.      This number is also found in block 3, Requisition/Purchase Request No. on the Standard Form 26, Award/Contract, and on Standard Form 30, Modification.
4.      The basic portion of a procurement request number is twelve characters long in a format exemplified by 01-99FE12345. This is identical to the last 12 characters of the award business instrument number, with the following exception: For a procurement request number, the fiscal year portion reflects the fiscal year of the anticipated award date. For example, the basic portion of a procurement request number which initiated a procurement action for a new award in FY 1999 would be in the form of 01-99FE12345. Subsequent actions in FY 1999 would have the same basic portion for their procurement request numbers. For actions related to this award in FY 2000, the procurement request number would be in the form of 01-00FE12345.

With regard to the award business instrument number, however, the fiscal year portion of this number remains the same as the year in which the instrument was initially awarded, in this example, FY 1999. Therefore, regardless of the fiscal year of the procurement request, the fiscal year portion of the award business instrument number does not change.

The supplementary portion of the procurement request number consists of a decimal point followed by a three-digit number added to the right of the basic portion of the procurement request number. The number identifies the sequence of procurement requests initiated for a fiscal year. The number is assigned sequentially starting with "000" and is used to represent funding actions or any other action that involves procurement activity; e.g., a no-cost extension.

To continue with the previous example, the procurement request number that initiated the basic award would be 01-99FE12345.000. The next action in FY 1999 would be a modification with a procurement request number 01-99FE12345.001. This supplemental portion does not become part of the award business instrument. Each fiscal year a new sequence begins with "001." The "000" is used only once during the life of the award.

Sometimes the awarding office will initiate a modification action under an award where the initiating office need not issue a procurement request. To provide for this case, the three-character sequence has been divided to have the awarding office use "501" through "599". If, in the above example, the awarding office were to initiate its own first procurement request under award in FY 1999 to change the cognizant contracting officer, it would be coded as 01-99FE12345.501.

The use of a different series prevents duplication of procurement request numbers that might occur when two separate offices are issuing procurement requests.

The following examples further explain the supplementary portion of the procurement request number:

- 01-99FE12345.000 - New award initiation.
- 01-99FE12345.001 - First subsequent action in FY 1999.
- 01-00FE12345.001 - First subsequent action FY 2000.
- 01-00FE12345.002 - Second subsequent action in FY 2000.
- 01-00FE12345.501 - First awarding office action in FY 2000.

## **ITEM 6**      **PR COMPLETION CODE**

Check the block indicating whether the PR referenced in Item 5 is completed or still open for further action.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
--------------------	---------------------------

YES	The PR is completed by this action.
-----	-------------------------------------

NO	The PR is not completed by this action and will be used again.
----	--

## **ITEM 7**      **VENDOR ID**

Enter the 13-character Vendor ID code for the recipient and division. The Vendor ID codes can be found in the Directory of Awardee Names at <http://www.osti.gov/dan>. The Vendor ID in the Directory must match the name, division (if applicable), city, and state of the awardee.

If no Vendor ID code is listed in the Directory, for the exact name, division (if applicable) city and state of the awardee, the awardee name (Item 8) must be entered, and division (Item 9) if applicable, in accordance with the Instructions for Completing Awardee Names in PADS, Appendix D to this handbook.

## **ITEM 8**      **AWARDEE NAME**

Enter the recipient name (up to 30 characters) of the individual, partnership, corporation, firm, association, Federal, State, or local agency or other type of recipient of the new award. Formatting abbreviations are to be in accordance with Instructions for Completing Awardee Names in PADS, Appendix D. (System-generated Item 7 is entered.)

## **ITEM 9**      **DIVISION**

When applicable, enter the name of the functional suborganization of the recipient in Item 8 above, Awardee Name. (See Appendix D, Instructions for Completing Awardee Names in PADS for further instructions.) (Example: Cable Division) (System generated if Item 7 is entered.)

**ITEM 10**      **CITY**

Enter the name of the city that is the principal place of performance of the award (up to 30 characters). (Example: Dallas).

**ITEM 11**      **STATE**

Enter the 2-character U.S. Postal Service Code for the state or U.S. outlying area (includes Puerto Rico, U.S. territories, and Freely Associated States) that is the principal place of performance of the award.

See Appendix C for a list of the State and U.S. outlying area codes.

**ITEM 12**      **ZIP CODE**

Enter the 9-digit zip code which applies to the location of recipient (legal address). (Example: 22134-9700)

Zip Codes are listed in the U.S. Postal Service National Zip Code Directory.

For locations outside the U.S., leave zip code blank.

**ITEM 13**      **COUNTY**

Enter the name of the county that is the location of the principal place of performance of the award. (Example: Montgomery) For the District of Columbia (DC), and locations outside the U.S., leave county blank.

If city, state, and zip code are entered county will be system generated. If city within a state is in multiple counties, or if multiple cities with the same name are in a state, county must be entered.

**ITEM 14**      **CONGRESSIONAL DISTRICT**

Enter the 2-character code for the congressional district where the recipient is located (legal address). These codes are listed in the Congressional District Atlas. (Example: 01) (Codes entered will be verified against Post Office Congressional District information).

**ITEM 15**      **COUNTRY**

Enter the 2-character code for the country that is the principal place of performance of the award. For locations in the U.S. and U.S. outlying areas leave this element blank.

A listing of country names and codes is found in Appendix C.

**ITEM 16**      **E-Government**

Enter the proper code that describes whether, during the processing of this award, E-Government (electronic commerce) methods were used during the solicitation and/or award phase of this financial assistance instrument. Examples of E-Government methods include the use of FedBizOps, the Industry Interactive Procurement System (IIPS), or other similar systems that communicate electronically with our recipients.

**CODE**              **DESCRIPTION**

- |   |   |
|---|---|
| A | Solicited electronically (only)         |
| B | Solicited and awarded electronically    |
| C | Awarded electronically (only)           |
| D | Not solicited or awarded electronically |

**ITEM 17**      **DESCRIPTION OF WORK**

Enter the brief description from the statement of work or project description (not less than 15 characters). A maximum of 150 characters (including spaces, dashes, etc.) may be entered. Insure the description is a concise statement of what is acquired or what work is being performed. Avoid use of abbreviations, acronyms and jargon if possible.

**ITEM 18**      **AWARD DATE**

Enter the date the DOE contracting officer signed the official award or modification (date executed). (Format: MM/DD/YYYY)

**ITEM 19**      **AWARD EFFECTIVE DATE (Begin Period of Performance)**

Enter the date the award becomes effective. This date reflects the beginning of the period of performance. The effective date can be found in block 7 of DOE Notice of Financial Assistance Award, DOE F 4600.1 (Format: MM/DD/YYYY)

**ITEM 20**      **AWARD COMPLETION DATE (End Period of Performance)**

Enter the completion date of the award. This field must be filled out on the basic award and for all time extensions to the basic award. This date can be found in block 7 of DOE Notice of Financial Assistance Award, DOE F 4600.1. (Format: MM/DD/YYYY)

**ITEM 21**      **BUDGET PERIOD FROM**

Beginning date of current budget period. Date can be found in block 6 of DOE Notice of Financial Assistance Award, DOE F 4600.1. (Format: MM/DD/YYYY).

**ITEM 22**      **BUDGET PERIOD TO**

Ending date of current budget period. Date can be found in block 6 of DOE Notice of Financial Assistance Award, DOE F 4600.1. (Format: MM/DD/YYYY).



## FINANCIAL DATA

### GUIDANCE:

- A. Dollars are entered as whole dollars, no cents, no decimals, and no comma.
- B. Decreases in dollars should be preceded by "-". (Example: -2500).
- C. Corrections to the previously entered financial data on modifications will replace current dollar values. There are three ways of making changes to the existing data:

- 1. Government share, awardee share and total (items 23, 24, and 25). A change to any one of these fields requires re-entry of data in all three. To leave dollars as they are on the data base, the same values must be re-entered.

If B&R numbers and B&R dollars (items 26 and 27) are not entered, they will be left as they currently exist on the data base.

- 2. B&R numbers and/or B&R dollars (items 26 and 27). A change made to any B&R number or B&R dollar amount requires re-entry of all B&R numbers and their corresponding B&R dollars.

If government share, awardee share, and total (items 23, 24 and 25) are not entered, they will remain as they currently exist on the data base.

- 3. All five fields - government share, awardee share total, B&R number, and B&R dollars (items 23, 24, 25, 26 and 27).

### **ITEM 23**      **GOVERNMENT SHARE (DOE Face Value)**

For the basic award, enter the total dollar amount of DOE's share of the award amount. For a modification, enter the amount of increase or decrease to the current value. PADS will calculate the resultant value.

#### **Initial "000" Award**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
500,000		500,000	AA01	200,000

Assistance action awarded for a 3-year period for a total estimated cost to the Government of \$500,000. Funds-obligated at the time of initial award \$200,000. There is no awardee share.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
300,00		300,000	AA01	300,000

Assistance action awarded for a 3-year period for a total estimated cost to the Government of \$300,000. Funds obligated at the time of initial award is funding of \$300,000. There is no awardee share.

### **Modification - Mod Greater than "000"**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
			AA01	100,000

Assistance action was initially executed for \$500,000; obligated dollars \$200,000. (See previous example) An incremental funding modification is awarded for \$100,000. This action has no effect on the Government share of the award; therefore, Item 23 is left blank.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
50,000		50,000	AA01	50,000

Assistance action was initially executed for \$300,000; obligated dollars were \$300,000. An increase in scope modification is awarded for \$50,000, and dollars obligated for the mod is \$50,000. Item 23 is filled in with \$50,000 because of an increase of the Government share.

### **ITEM 24      AWARDEE SHARE**

For the basic award, enter the total dollar amount of the awardee's share of the award amount, if none, leave blank. For a modification, enter the amount of increase or decrease to the current awardee share value. PADS will calculate the resultant value.

### **Initial "000" Award**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
250,000	75,000	325,000	AA01	325,000

An action awarded for a 3-year period for a total estimated cost to the Government of \$250,000, a total estimated cost to the awardee of \$75,000, and the Government funds obligated at time of award are, \$250,000. The total estimated cost of the award is \$325,000.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
400,00	25,000	425,000	AA01	400,000

An action awarded for a 3-year period for a total estimated cost to the Government of \$400,000, a total estimated cost to the awardee of \$25,000, and the funds obligated of the Government are \$400,000. The total estimated cost of the award is \$425,000.

### **Modification - Mod Greater than "000"**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
	-5,000	-5,000	AA01	150,000

The award was initially executed with \$75,000 awardee share. A modification is executed that decreases the awardee share by \$-5,000, and incrementally funds the award for \$150,000.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
100,000	2,000	102,000	AA01	100,000

The award was initially executed for \$400,000 Government share, \$25,000 awardee share, and obligated dollars of \$400,000. A modification is executed that is an increase in scope of \$100,000 to the Government, \$2,000 to awardee, and obligations increased \$100,000.

### **ITEM 25 TOTAL (Total Contract Value)**

Enter the sum of items 23 and 24 showing the total award amount.

The total contract value is the "Total Estimated Cost of the Project," from block 17 of the DOE Notice of Financial Assistance Award, DOE F 4600.1, (Example: 150000)

### **Initial "000" Award**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
100,00	5,000	105,000	AA01	50,000

An action awarded for 3-year period for \$100,000 Government share, \$5,000 awardee share, and Government funds obligated is \$50,000. The total contract value is \$105,000.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
50,000	10,000	60,000	AA01	50,000

An action awarded for 3-year period for \$50,000 Government share, \$10,000 awardee share, and Government funds obligated is \$50,000. The total contract value is \$60,000.

### **Modification - Mod Greater than "000"**

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
			AA01	50,000

The award was initially executed for a total of \$105,000, and dollars obligated at the initial award were \$50,000. An incremental funding modification is awarded for \$50,000 and does not change award value.

23. Government Share	24. Awardee Share	25. Total	26. B&R No.	27. B&R Dollars
15,000		15,000	AA01	15,000

The award was initially executed for a total value of \$60,000 and dollars obligated were \$50,000. An increase in scope modification is issued for \$15,000 and dollars obligated for the modification are \$15,000. This increases the contract value by \$15,000.

### **ITEM 26 B&R NUMBER**

Enter the valid B&R (Budget and Reporting) number (maximum nine characters) (Item 26 on DOE F 4200.33) for the FY funds obligated by this award action. If there are more B&R numbers than the three spaces provided, use the IPAR Supplement (DOE Form 4200.41). (Example: HA0502)

### **ITEM 27 B&R DOLLARS**

Enter the amount of obligated funds for each B&R number for this award. (Example: 25000)

**ITEM 28**      **CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER**

Enter the 6-character Catalog of Federal Domestic Assistance (CFDA) number assigned to the program supporting the award. (Item 20 from DOE F 4200.33) This number should be selected by the sources of funds and not by matching the closest description. The CFDA number can be used only with funds originating from the appropriate program office.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>	<b><u>PROGRAM</u></b>
81.003	Granting of Patent Licenses	GC
81.022	Energy-Related Laboratory Equipment Grants	ER
81.036	Energy-Related Inventions	EE
81.039	National Energy Information Center	
81.041	State Energy Conservation	EE
81.042	Weatherization Assistance for Low-Income Persons	EE
81.049	Basic Energy Sciences, High Energy, etc.	ER
81.057	University Coal Research	FE
81.064	Office of Scientific & Technical Information	HR
81.065	Nuclear Waste Disposal Siting	RW
81.079	Biomass Energy Technology	EE
81.081	Energy Task Force for the Urban Consortium	EE
81.082	Management and Technical Assistance for Minority Business Enterprises	ED
81.086	Conservation Research and Development	EE
81.087	Renewable Energy Research and Development	EE
81.089	Fossil Energy Research and Development	FE
81.104	Technology Development for Environmental Management	EW
81.105	National Industrial Competitiveness Through Energy, Environment, and Economics	EW
81.106	Transport of Transuranic Wastes to the WIPP	EW
81.108	Epidemiological and Other Health Studies	EH
81.112	Inertial Fusion Science - ICF	DP
81.113	Nonproliferation & Natl Security Research	NN
81.114	University Nuclear Science & Reactor Support	NE
81.115	Stockpile Stewardship Collaborative R&D	DP
81.116	Support Colorado Min, Women & Disabled	
81.117	Energy Efficiency & Renewable Energy Information Dissemination, Outreach, Training & Technical Analysis/Assistance	EE
81.119	State Energy Program Special Projects	EE
81.120	Arms Control and Nonproliferation Policy Analysis	NN
81.121	Nuclear Energy Research Initiative (NERI)	NE
81.122	Advanced Nuclear Medicine Initiative	NE
81.502	Miscellaneous Federal Activities Actions	

81.511            Technology Transfer Activities

Other CFDA numbers are available for old programs that have modifications to their awards only.

**ITEM 29        STATE APPLICATION IDENTIFIER (SAI)**

Enter the number assigned by the State's single point of contact (SPOC). SAI numbers are reported for all awards under programs that the agency has determined are covered by Executive Order 12372. The Office of Management and Budget (OMB) has established a standard 12-character format for SAI numbers. States have the option of adopting the standard format on a voluntary basis.

If the CFDA number is equal to 81.042, a State Application Identifier number should be reported if it is available.

**LEGAL ADDRESS OF RECIPIENT**

Required on all new assistance awards.

**SPECIAL INSTRUCTION**

When legal address is the same as the principal place of performance address, the word "SAME" can be entered in the element CITY and the remainder left blank. PADS will generate this information for you.

**ITEM 30        CITY**

Enter the specific name of the city or township where the recipient is located (same as billing address or legal address).

**ITEM 31        STATE**

Enter the 2-character code of the state or territory (includes Freely Associated States) where the recipient is located (legal address). State codes are in Appendix C)

**ITEM 32**      **ZIP CODE**

Enter the 9-character zip code, which applies, to location of recipient (legal address). (Example: 22134-9700)

Zip Codes are listed in the U.S. Postal Service National Zip Code Directory.

**ITEM 33**      **COUNTY**

Enter the county were the recipient is located. (Legal address) (Example: Montgomery) For the District of Columbia, leave county blank.

If city, state, and zip code are entered, county will be system generated. If city within a state is in multiple counties, or if multiple cities with the same name are in a state, county must be entered.

The FIPS 55 (Federal Information Processing Standard) provides information concerning city, county, and state.

**ITEM 34**      **CONGRESSIONAL DISTRICT**

Enter the 2-character code for the congressional district where the recipient is located (legal address). These codes are listed in the Congressional District Atlas. (Example: 01)

Code will be verified against Post Office Congressional District information.

**ITEM 35**      **TYPE OF AWARD**

**CODE**      **DEFINITION**

**B**      **Cooperative Agreement**

Assistance instrument with substantial involvement between DOE and recipient.

**C**      **Formula Grant**

Eligible recipients are determined by statute and amount is determined in accordance with a formula specified in statute or implementing program rules. (ICP grants are considered formula grants for this purpose.)

**D**      **Project Grant**

DOE is authorized under a Federal statute to select the recipient and the project to be supported and to determine the amount to be awarded.

**E**      **Direct Payment for Specified Use**

A financial assistance type award to encourage or subsidize a particular activity.

**G**      **Direct Loan**

Lending of Federal funds with expectation of repayment.

**H**      **Guaranteed/Insured Loan**

Indemnifies a lender against part or all of any default of repayment of a loan.

**I**      **Other Financial Assistance**

Financial assistance other than mentioned above.



**ITEM 36**      **EXTENT OF COMPETITION**

Required on all new assistance awards.

**CODE**              **DEFINITION****FC**                      **Competitive Assistance**

Assistance awarded after competition.

**FG**                      **Assistance Unsolicited Proposal**

An application which is not submitted in response to a solicitation or which is submitted in response to a Notice of Program Interest. (10 CFR 600.15)

**FN**                      **Noncompetitive Assistance**

Assistance awarded without competition.

**ITEM 37**      **OSTI DELIVERABLE**

This code is used by the Office of Scientific and Technical Information (OSTI) to identify required scientific/technical reporting deliverables. Enter the 2-character code that closely corresponds to the scientific/technical reporting deliverables specified on the DOE 4600.2, "Federal Assistance Reporting Checklist". The code should not be used to identify any other reporting requirements (e.g., it should not be used for management or financial reporting, such as project status reports.)

**CODE**              **DESCRIPTION**

AD	Final Report
AU	Conference Proceedings(scientific/technical conferences ONLY)
AZ	No Technical Deliverable Required
CO	Conference Paper
DD	Other (e.g, Reports at the end of a phase or task, scientific/technical videos or movies, etc)
YY	Computer Software
YZ	Computer Software Plus Final Report

**ITEM 38**      **TYPE OF BUSINESS/TYPE OF RECIPIENT**

**TYPE OF RECIPIENT - ASSISTANCE ONLY**

**GAA**            **State Government**

Includes all 50 States, the District of Columbia, and the outlying areas.  
Includes State agencies, such as a State dormitory authority.  
Includes the Governor's Office, the legislature and associated committees.  
Excludes state institutions of higher education.

**GAE**            **State Controlled Institutions Of Higher Education**

Higher education institutions affiliated with a State, the District of Columbia, or a US outlying area.

Includes state operated community colleges, state colleges and universities (and their affiliated medical centers).

**GDD**            **County Government**

Includes Governments designated as counties, boroughs in Alaska, parishes in Louisiana.

Includes subordinate agencies of the county government.

Includes school districts and community colleges in states where they are designated as part of the county government.

Excludes consolidated city/county governments, which are classified as cities.

**GEE**            **City Or Township Government**

Includes cities, towns, townships, boroughs in Pennsylvania, or a municipal corporation generally.

Includes subordinate agencies of the cities or towns.

Includes school districts in cities designated as having dependent school systems.

**GFF**            **Independent School District**

Includes only those districts designated as separate and independent units of government.

**GGG**      **Special District Government**

Includes governments so-designated under Bureau of Census guidelines, most of which are single-purpose governments.

Includes certain utility districts, housing authorities, park authorities, sewer authorities, industrial development authorities, and so forth.

**GII**      **Private Institutions Of Higher Education**

Includes institutions that are not state, city, or county operated colleges or universities.

**GJJ**      **Indian Tribe**

Self-explanatory.

**GKH**      **Hospital**

All hospitals that cannot be otherwise categorized.

**GKK**      **All Others**

Not otherwise classified. (Used for recipients, which do not fit in any other category.)

**GLL**      **Profit Organization**

Includes profit organizations, except small businesses or otherwise categorized.

**GMM**      **Individual**

Includes Social Security and VA beneficiaries and other non-business and non-Government recipients of federal assistance.

**GNN**      **Non-Profit Organization**

Includes community action agencies and organizations having 501.c.3 status with the IRS, other than higher education institutions.

**GSS**      **Small Business**

Private firms, which are, classified as small businesses within their particular industry.

**GZZ**      **Recipient Outside Us And Outlying Areas**

A recipient with a legal address outside the US and in outlying areas.

**ITEM 39**      **RESEARCH AND DEVELOPMENT**

Check the block marked "Yes" if 50 percent or more of the funding on this award is considered to be for research and development. Check "No" if funding is less than 50 percent research and development.

**ITEM 40**      **GOVERNMENT PROPERTY**

**CODE**      **DESCRIPTION**

F	Furnished
N	None
P	Purchased
B	Both Furnished and Purchased
R	Removed

**ITEM 41**      **HISPANIC INSTITUTION**

Yes - An institution of higher learning where at least 25% of the student population is Hispanic.

No - Not an institution of higher learning where at least 25% of the student population is Hispanic.

Data entered must be in accordance with the US Department of Education's current list of U.S. Accredited Postsecondary Minority Institutions. [Click here to link to the list on Education's homepage.](#)

Do not code this element as "Yes" unless ED's list shows the percentage of Hispanic students to be at least 25%.

**ITEM 42**      **SMALL BUSINESS INNOVATIVE RESEARCH (SBIR)**

Check this block "Yes" if the award was made pursuant to the Small Business Innovation Development Act of 1982, P.L. 97-219. If not applicable, check "No".

**ITEM 43**      **COGNIZANT DOE OFFICE**

The contracting activity assigned lead office responsibility for all DOE indirect cost matters relating to a particular organization receiving DOE contract and financial assistance awards.

**ITEM 44**      **COGNIZANT FEDERAL AGENCY**

The agency having the predominate financial interest in the organization. The CFA is responsible for performing a designated function on behalf of all Federal agencies.

**CODE**              **DESCRIPTION**

DA	Department of Agriculture
DC	Department of Commerce
DD	Defense Contract Mgt Command
DE	Department of Education
DG	Department of Energy
DH	Department of Housing & Urban Development
DJ	Department of Justice
DL	Department of Labor

DN	Office of Naval Research
DP	Environmental Protection Agency
DS	National Science Foundation
DT	Department of Transportation
DX	Other
R1	HHS Northeast Office, New York
R2	HHS Mid-Atlantic Office, Atlanta
R3	HHS Central States Office, Dallas
R4	HHS Eastern Office, San Francisco

**ITEM 45**      **NEGOTIATOR CODE**

Enter the 4-character code, which identifies the individual who completed the assistance action. This code is unique to each awarding office for their personnel.

**ITEM 46**      **AWARD ADMINISTRATOR CODE**

Enter the 4-character code, which identifies the person who is responsible for administration of the award. This code is unique to each awarding office for their personnel.

**ITEM 47**      **CONTRACTING OFFICER CODE**

Enter the 4-character code, which identifies the person duly authorized with contracting officer warrant, who signed the contractual document. This code is unique to each awarding office for their personnel.

**ITEM 48**      **TECHNICAL REPRESENTATIVE NAME**

Enter the name of the person delegated the responsibility to serve as the Government Technical Representative (GTR) by the contracting officer (up to 24 characters.) Enter last name, first name, and middle initial.

**ITEM 49**      **DELEGATED AWARD ADMINISTRATION OFFICE**

If award and/or property administration is delegated, enter the proper 2-character code that identifies the delegated office. If the award is delegated outside DOE, this value must be entered. If this item is entered, Item 50 must be completed.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
01	Washington Procurement Operations Office
02	Chicago Operations Office
03	Oakland Operations Office
04	Albuquerque Operations Office
05	Oak Ridge Operations Office
06	Richland Operations Office
07	Idaho Operations Office
08	Nevada Operations Office
09	Savannah River Operations Office
11	Pittsburgh Naval Reactor Office
12	Schenectady Naval Reactor Office
13	Grand Junction Project Office
16	Portsmouth Project Office
17	Environmental Measurements Laboratory
19	Bartlesville Project Office
24	Ohio Field Office
26	National Energy Technology Laboratory
27	Office of River Protection
32	Los Alamos Area Office
33	Kansas City Area Office
34	Rocky Flats Office
36	Golden Field Office
41	Boston Regional Office
43	Philadelphia Regional Office
44	Atlanta Regional Office
45	Chicago Regional Office
48	Denver Regional Office
51	Seattle Regional Office
65	Western Area Power Administration
70	Southeastern Power Administration
75	Southwestern Power Administration
85	Alaska Power Administration
96	Strategic Petroleum Reserve Office
DA	DCMC (Defense Contract Management Command)
DC	DCAA (Defense Contract Audit Agency)

MO	Management and Operating Contractor
ON	ONR (Office of Naval Research)
OT	Other

**ITEM 50**      **DELEGATION DATE**

Enter the date (MM/DD/YYYY) on which the award administration was delegated. This date must be entered if Item 49 is entered.

**ITEM 51**      **AWARD STATUS**

Enter the 2-character code, which reflects the appropriate status of the award. These codes are optional for field use. They will not be used by Headquarters to generate reports and thus are not used to determine status of award.

<b><u>CODE</u></b>	<b><u>DESCRIPTION</u></b>
--------------------	---------------------------

AA	Active, contract in performance from award date to completion date.
AX	Payback-Awardee Liability open.
CA	Completion date passed, no final acceptance of deliverables, still open.
CO	Completed with final acceptance of deliverables, closeout action initiated.
RA	Closeout completed. Retirement/aging begun.
RC	Converted to Subcontract.
RD	Retired, file destroyed.

**ITEM 52**      **RETIREMENT DATE**

Enter the date (MM/DD/YYYY) the completed award was retired, i.e., all deliverables have been received and final payment made.



**ITEM 53**      **TRANSFER AWARDING OFFICE**

This item is to be blank, unless a grant is to be transferred from one DOE awarding office to another. At the time of a transfer, the transferring office enters the awarding office number (01, 02, etc.) of the awarding office receiving the transferred award.

**ITEM 54**      **SENIOR INVESTIGATOR**

Name of person designated by the awardee to serve as Project Director or Senior Investigator.

**INTERNAL AWARDING OFFICE FIELDS**

The following 5 data elements are for individual office data use.

**ITEM 55**      **DATE**

10 digit date field

**ITEM 56**      **DOLLARS**

11 digit dollars only field

**ITEM 57**      **TEXT**

110 character field

**ITEM 58**      **NUMERIC**

30 digit field

**ITEM 59**      **INTERNAL AWARD OFFICE**

30 Character field

## **INSTRUCTIONS FOR IPAR SUPPLEMENT FORM**

The IPAR supplement, DOE F 4200.41, is used when there are more than three B&R codes and three dollar amounts for the award, and additional space is needed to complete the obligation information for the award or to enter field office specific data. (Further definitions of items below are found in DOE F 4200.40A definitions.)

### **ITEM 1      ADD/CHANGE**

Check “ADD” if this is a new basic award or a modification (to an existing award) not previously reported to PADS. Check the block marked “CHANGE” if this award action is a change or correction to award/modification data previously reported to PADS.

### **ITEM 2      AWARD BIN**

This number is the 17-character identifying element to the legal document, which constitutes the agreement between the Department of Energy and the awardee. (See instructions for Item 2, Award Bin, of IPAR - DOE F4200.40A.)

### **ITEM 3      MOD NUMBER**

Enter the 4-character modification number that identifies the award document.

### **ITEM 4      AWARD DATE**

Enter the date contracting officer signed the official award. (Format: MM/DD/YYYY)

### **ITEM 5      B&R NUMBER**

Enter the valid B&R (Budget and Reporting) number (maximum nine characters) for the FY funds obligated by this award action. (Example: HA0205)

**ITEM 6**      **DOLLARS**

Enter the amount of FY obligated dollars on this action for each B&R number (Item 5).

**ITEM 7**      **MOD NUMBER BEING DEFINITIZED**

Not applicable to financial assistance awards.

## **APPENDIX A**

### **REQUIRED ITEMS - QUICK REFERENCE**

#### **REQUIRED ITEMS FOR PRE-CICA PROCUREMENT MODIFICATION WITH DOLLARS (A - Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
7	PR Completion
22	Award Date
29	Government Share (If applicable)
30	Awardee Share (If applicable)
31	Total (If applicable)
32	B&R Number
33	B&R Dollars
34	CICA Applicability
46	Extent Competed
49	Extent of Competition
52	Synopsis Requirement

#### **REQUIRED ITEMS FOR PRE-CICA PROCUREMENT MODIFICATION NO DOLLARS (Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
22	Award Date
34	CICA Applicability
46	Extent Competed
49	Extent of Competition

**REQUIRED ITEMS FOR POST CICA NEW BASIC  
PROCUREMENT AWARD (A & M Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
7	PR Completion
8	Master BIN (If applicable)
9	DUNS Number
10	Vendor ID
11	Contractor Name (If no Vendor ID)
12	Division (If no Vendor ID)
13	Contractor's TIN
14	Common Parent's Name (If applicable)
15	Common Parent's TIN (If applicable)
16	City
17	State
18	Zip Code
19	County (If city in multiple counties)
20	Congressional District
21	Country (If applicable)
22	Award Date
23	Award Effective Date
24	Award Completion Date
25	E-Government
26	EPA Product
27	Materials Clause Recovered
28	Description of Work
29	Government Share (If applicable)
30	Awardee Share (If applicable)
31	Total (If applicable)
32	B&R Number
33	B&R Dollars
34	CICA Applicability
35	Type of Business
36	Type of Award
37	Number of Offerors
38	Small Disadvantaged Business Subcontracting Plan
39	Safety & Health
40	Competitive Solicitation Procedures

41	Woman Owned
42	Subject to Labor Statute
43	Competitive Exemption Authority (If applicable)
44	Support Service
45	Product and Service Code
46	Extent Competed
47	Hispanic Institution
48	NAIC Code
50	Commercial Item
51	Directed Procurement
52	Synopsis Requirement
53	Small Business Competitiveness Demonstration Program
54	OSTI Deliverable
55	Trade Data - Country of Manufacture (If applicable)
56	Emerging Small Business (If applicable)
57	Research and Development
58	Cognizant DOE Office (If applicable)
59	Size of Small Business (If applicable)
60	Government Property
61	Cognizant Federal Agency (If applicable)
62	Emerging Small Business Reserve Award (If applicable)
63	Bundling Contract (Reserved)
64	HUBZone Small Business Concern
65	HUBZone Program
66	HUBZone % Difference
67	Small Disadvantaged Business Program
68	Small Disadvantaged Business % Difference
69	Other Preference Programs
70	EPACT
71	EPACT Dollars
72	Performance Based Contract
73	Veteran Owned Small Business
74	Multiple Award Contract Fair Opportunity

**REQUIRED ITEMS FOR POST-CICA PROCUREMENT MODIFICATION  
WITH DOLLARS (A - Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
7	PR Completion
22	Award Date
29	Government Share (If applicable)
30	Awardee Share (If applicable)
31	Total (If applicable)
32	B&R Number
33	B&R Dollars
34	CICA Applicability
37	Number of Offerors
40	Competitive Solicitation Procedures
43	Competitive Exemption Authority (If applicable)
46	Extent Competed
52	Synopsis Requirement
70	EPACT
71	EPACT Dollars (If applicable)

**REQUIRED ITEMS FOR POST-CICA PROCUREMENT MODIFICATION  
NO DOLLARS (M - Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
7	PR Completion
22	Award Date
34	CICA Applicability
37	Number of Offerors
40	Competitive Solicitation Procedures
43	Competitive Exemption Authority (If applicable)
46	Extent Competed

**REQUIRED ITEMS FOR NEW INTERAGENCY AGREEMENT BASIC AWARD  
(Type of Instrument AI)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
6	PR Number
7	PR Completion
8	Master Bin (If Applicable)
10	Vendor ID
11	Contractor Name (If no Vendor ID)
12	Division (If no Vendor ID)
16	City
17	State
18	Zip Code
19	County (If city in multiple counties)
20	Congressional District
21	Country (If applicable)
22	Award Date
23	Award Effective Date
24	Award Completion Date
25	E-Government
28	Description of Work
29	Government Share (If applicable)
30	Awardee Share (If applicable)
31	Total (If applicable)
32	B&R Number
33	B&R Dollars
54	OSTI Deliverable

Task Orders against interagency agreements require the same data items as interagency agreement, with two exceptions:

**ITEM 8**      **Master BIN is required.**

**ITEM 54**      **OSTI Deliverable is not allowed.**



## APPENDIX B

### REQUIRED ITEMS FOR NEW FINANCIAL ASSISTANCE AWARD (BASIC AWARD) (A & M Mods)

<u>IPAR ITEM</u>	<u>IDENTIFICATION</u>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
5	PR Number
6	PR Completion
7	Vendor ID
8	Awardee Name (If no Vendor ID)
9	Division (If no Vendor ID)
10	City
11	State
12	Zip Code
13	County (If city in multiple counties)
14	Congressional District
15	Country (If applicable)
16	E-Government
17	Description of Work
18	Award Date
19	Award Effective Date
20	Award Completion Date
23	Government Share (If applicable)
24	Awardee Share (If applicable)
25	Total (If applicable)
26	B&R Number
27	B&R Dollars
28	CFDA Number
29	State Application Identifier (If applicable)
30	Legal Address - City
31	Legal Address - State
32	Legal Address - Zip Code
33	Legal Address - County
34	Legal Address - Congressional District
35	Type of Award
36	Extent of Competition
37	OSTI Deliverable
38	Type of Business
39	Research and Development
40	Government Property
41	Hispanic Institution

42	SBIR
43	Cognizant DOE Office (If applicable)
44	Cognizant Federal Agency (If applicable)

**REQUIRED ITEMS FOR FINANCIAL ASSISTANCE MODIFICATION  
WITH DOLLARS (A - Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
5	PR Number
6	PR Completion
18	Award Date
23	Government Share (If Applicable)
24	Awardee Share (If Applicable)
25	Total (If Applicable)
26	B&R Number
27	B&R Dollars

**REQUIRED ITEMS FOR FINANCIAL ASSISTANCE MODIFICATION  
NO DOLLARS (M - Mods)**

<b><u>IPAR ITEM</u></b>	<b><u>IDENTIFICATION</u></b>
1	Add/Change
2	Award Bin
3	Modification Number
4	Kind of Award Action
5	PR Number
6	PR Completion
18	Award Date

## APPENDIX C

### STATE ABBREVIATIONS

ALABAMA	AL
ALASKA	AK
AMERICAN SAMOA	AS
ARIZONA	AZ
ARKANSAS	AR
CALIFORNIA	CA
COLORADO	CO
CONNECTICUT	CT
DELAWARE	DE
DISTRICT OF COLUMBIA	DC
FLORIDA	FL
GEORGIA	GA
GUAM	GU
HAWAII	HI
IDAHO	ID
ILLINOIS	IL
INDIANA	IN
IOWA	IA
KANSAS	KS
KENTUCKY	KY
LOUISIANA	LA
MAINE	ME
MARSHALL ISLANDS	MH
MARYLAND	MD
MASSACHUSETTS	MA
MICHIGAN	MI
MICRONESIA, FEDERATED STATES OF	FM
MINNESOTA	MN
MISSISSIPPI	MS
MISSOURI	MO
MONTANA	MT
NEBRASKA	NE
NEVADA	NV
NEW HAMPSHIRE	NH
NEW JERSEY	NJ
NEW MEXICO	NM
NEW YORK	NY
NORTH CAROLINA	NC
NORTH DAKOTA	ND
NORTHERN MARIANA ISLANDS, COMMONWEALTH OF	MP
OHIO	OH

OKLAHOMA  
OREGON  
PALAU REPUBLIC OF  
PENNSYLVANIA  
PUERTO RICO  
RHODE ISLAND  
SOUTH CAROLINA  
SOUTH DAKOTA  
TENNESSEE  
TEXAS  
UTAH  
VERMONT  
VIRGIN ISLANDS  
VIRGINIA  
WASHINGTON  
WEST VIRGINIA  
WISCONSIN  
WYOMING

OK  
OR  
PW  
PA  
PR  
RI  
SC  
SD  
TN  
TX  
UT  
VT  
VI  
VA  
WA  
WV  
WI  
WY

## APPENDIX D

### COUNTRY CODES

AFGHANISTAN	AF
ALBANIA	AL
ALGERIA	AG
ANDORRA	AN
ANGOLA	AO
ANGUILLA	AV
ANTARCTICA	AY
ANTIGUA & BARBUDA	AC
ARGENTINA	AR
ARMENIA	AM
ARUBA	AA
ASHMORE & CARTER ISLAND	AT
AUSTRALIA	AS
AUSTRIA	AU
AZERBAIJAN	AJ
BAHAMAS	BF
BAHRAIN	BA
BANGLADESH	BG
BARBADOS	BB
BASSAS DA INDIA	BS
BELARUS	BO
BELGIUM	BE
BELIZE	BH
BENIN	BN
BERMUDA	BD
BHUTAN	BT
BOLIVIA	BL
BOSNIA AND HERZEGOVINA	BK
BOTSWANA	BC
BOUVET ISLAND	BV
BRAZIL	BR
BRITISH INDIAN OCEAN TERRITORY	IO
BRITISH VIRGIN ISLANDS	VI
BRUNEI	BX
BULGARIA	BU
BURKINA FASO	UV
BURMA	BM
BURUNDI	BY
CAMBODIA	CB
CAMEROON	CM
CANADA	CA

CAPE VERDE	CV
CAYMAN ISLANDS	CJ
CENTRAL AFRICAN REPUBLIC	CT
CHAD	CD
CHILE	CI
CHINA	CH
CHINA (TAIWAN)	TW
CHRISTMAS ISLAND	KT
CLIPPERTON ISLAND	IP
COCOS (KEELING) ISLANDS	CK
COLOMBIA	CO
COMOROS	CN
CONGO	CF
CONGO DEM REP OF	CG
COOK ISLANDS	CW
CORAL SEA ISLANDS	CR
COSTA RICA	CS
CROATIA	HR
CUBA	CU
CYPRUS	CY
CZECH REPUBLIC	EZ
DEMOCRATIC PEOPLES REPUBLIC OF KOREA	KN
DENMARK	DA
DJIBOUTI	DJ
DOMINICA	DO
DOMINICAN REPUBLIC	DR
ECUADOR	EC
EGYPT	EG
EL SALVADOR	ES
EQUATORIAL GUINEA	EK
ERITREA	ER
ESTONIA	EN
ETHIOPIA	ET
EUROPA ISLAND	EU
FALKLAND ISLANDS (MALVINAS)	FA
FAROE ISLANDS	FO
FIJI	FJ
FINLAND	FI
FRANCE	FR
FRENCH GUIANA	FG
FRENCH POLYNESIA	FP
FRENCH SOUTHERN & ANTARCTIC LANDS	FS
GABON	GB
GAMBIA	GA
GAZA STRIP	GZ
GEORGIA	GG

GERMANY	GM
GHANA	GH
GIBRALTAR	GI
GLORIOSO ISLANDS	GO
GREECE	GR
GREENLAND	GL
GRENADA	GJ
GUADELOUPE	GP
GUATEMALA	GT
GUERNSEY	GK
GUINEA	GV
GUINEA-BISSAU	PU
GUYANA	GY
HAITI	HA
HEARD ISLAND & MCDONALD ISLANDS	HM
HONDURAS	HO
HONG KONG	HK
HUNGARY	HU
ICELAND	IC
INDIA	IN
INDONESIA	ID
IRAN	IR
IRAQ	IZ
IRELAND	EI
ISRAEL	IS
ITALY	IT
IVORY COAST	IV
JAMAICA	JM
JAN MAYEN	JN
JAPAN	JA
JERSEY	JE
JORDAN	JO
JUAN DE NOVA ISLAND	JU
KAZAKHSTAN	KZ
KENYA	KE
KIRIBATI	KR
KUWAIT	KU
KYRGYZSTAN	KG
LAOS	LA
LATVIA	LG
LEBANON	LE
LESOTHO	LT
LIBERIA	LI
LIBYA	LY
LIECHTENSTEIN	LS
LITHUANIA	LH

LUXEMBOURG  
MACAU  
MADAGASCAR  
MACEDONIA  
MALAYSIA  
MALAWI  
MALDIVES  
MALI  
MALTA  
MAN ISLE OF  
MARSHALL ISLANDS  
MARTINIQUE  
MAURITIUS  
MAURITANIA  
MAYOTTE  
MEXICO  
MOLDOVA  
MONACO  
MONGOLIA  
MONTENEGRO  
MONTSERRAT  
MOROCCO  
MOZAMBIQUE  
NAMIBIA  
NAURA  
NEPAL  
NETHERLANDS  
NETHERLANDS ANTILLES  
NEW CALEDONIA  
NEW ZEALAND  
NICARAGUA  
NIGER  
NIGERIA  
NIUE  
NORFOLK ISLAND  
NORWAY  
OMAN  
PAKISTAN  
PANAMA  
PAPUA NEW GUINEA  
PARACEL ISLANDS  
PARAGUAY  
PERU  
PHILIPPINES  
PITCAIRN ISLANDS  
POLAND

LU  
MC  
MA  
MK  
MY  
MI  
MV  
ML  
MT  
IM  
RM  
MB  
MP  
MR  
MF  
MX  
MD  
MN  
MG  
MW  
MH  
MO  
MZ  
WA  
NR  
NP  
NL  
NT  
NC  
NZ  
NU  
NG  
NI  
NE  
NF  
NO  
MU  
PK  
PM  
PP  
PF  
PA  
PE  
RP  
PC  
PL



PORTUGAL	PO
QATAR	QA
REPUBLIC OF KOREA	KS
REUNION	RE
ROMANIA	RO
RUSSIA	RS
RWANDA	RW
SAMOA	WS
SAN MARINO	SM
SAO TOME & PRINCIPE	TP
SAUDIA ARABIA	SA
SENEGAL	SG
SERBIA	SR
SEYCHELLES	SE
S GEORGIA/S SANDWI	SX
SIERRA LEONE	SL
SINGAPORE	SN
SLOVAKIA	LO
SLOVENIA	SI
SOLOMONS ISLANDS	BP
SOMALIA	SO
SOUTH AFRICA	SF
SPAIN	SP
SPRATLY ISLANDS	PG
SRI LANKA	CE
ST. CHRISTOPHER & NEVIS	SC
ST. HELENA	SH
ST. LUCIA	ST
ST. PIERRE & MIQUELON	SB
ST. VINCENT AND THE GRENADINES	VC
SUDAN	SU
SURINAM	NS
SVALBARD	SV
SWAZILAND	WZ
SWEDEN	SW
SWITZERLAND	SZ
SYRIA	SY
TAJIKISTAN	TI
TANZANIA	TZ
THAILAND	TH
TOGO	TO
TOKELAU ISLANDS	TL
TONGA	TN
TRINIDAD & TOBAGO	TD
TROMELIN ISLAND	TE
TUNISIA	TS

TURKEY  
TURKMENISTAN  
TURKS & CAICOS ISLANDS  
TUVALU  
UGANDA  
UKRAINE  
UNITED ARAB EMIRATES  
UNITED KINGDOM  
UNITED STATES  
URUGUAY  
UZBEKISTAN  
VANUATA  
VATICAN CITY  
VENEZUELA  
VIETNAM  
WALLIS & FUTUNA  
WEST BANK  
WESTERN SAHARA  
YEMEN SANAA  
ZAMBIA  
ZIMBABWE

TU  
TX  
TK  
TV  
UG  
UP  
AE  
UK  
US  
UY  
UZ  
NH  
VT  
VE  
VM  
WF  
WE  
WI  
YM  
ZA  
ZI

## APPENDIX E

### INSTRUCTIONS FOR FORMATTING AWARDEE NAMES IN PADS

#### INTRODUCTION

The instructions are intended to aid procurement personnel who prepare IPAR forms in formatting and entering the name(s) of new awardees in a standardized format. Instruction is also provided for the abbreviation of those names, which exceed 30 characters.

Use these instructions whenever the name of the awardee does not appear in the current "Directory of Awardee Names" at <http://www.osti.doe.gov/dan>.

Attachment 1 to this Appendix contains permissible abbreviations for use in PADS.

#### GENERAL

**Field for Awardee Name:** This is a fixed field length of thirty (30) alphanumeric characters. The name should be entered in clear text subject to the editing rules which follow. In the event the name must be reduced to meet the allowable field length, this must be done through abbreviation.

**Field for Awardee's Division Name:** This is also a fixed field length of thirty (30) alphanumeric characters. The editing rules are the same as those for the organization name.

**Description:** The name of the actual organization or individual receiving the award.

**Always abbreviate the words:**

Administration	Admin
And	&
Associates/Associate	Assoc
Company	Co
Corporation	Corp
Incorporation	Inc
Limited	Ltd

**Always abbreviate the terms:**

Independent School District	ISD
Consolidated School District	CSD
Unified School District	USD

**Punctuation:** The period, comma, and plus sign (+) are never used. The slant (/), the number sign (#), the apostrophe ('), and the hyphen (-) are used only when a part of the true awardee name:

Smith Jones Akers & Murphy Inc (for Smith, Jones, Akers, and Murphy, Inc.)  
A/G Technology Corp  
Hi-Tech Laboratories Inc  
Winston School District #50  
St Patrick's Hospital

**Spacing:** Spacing appears when it is a part of the name and between the different words of the whole name:

Jess Howard Electric Co  
Bishop McNamara High School

**Articles:** The articles "A", "An", and "The" are not used when the article is the first word of the awardee name:

National Security Agency (for The National Security Agency)

**Numbers:** Numbers are used only when they are a part of the awardee name.

3M Business Product  
Amity Regional School Dist #5

**Abbreviated Names:** Abbreviated names will be used only when the actual name exceeds thirty (30) characters. Abbreviations are subject to the following editing rules:

- A. Follow these general rules (in order of precedence):
  - 1. Abbreviate the least number of words possible
  - 2. Abbreviate the most commonly used word
  - 3. Abbreviate from the right side of the name
  - 4. Do not abbreviate the first word, if possible
- B. Select from the table of permissible abbreviations (Attachment 1).

**Format When Awardee Is An Organization:** The following rules are specifically for organization names.

When states of the United States require abbreviation, always use the 2-character abbreviation

- A. When the actual awardee name contains letters of the alphabet, space between letters which are initials representing proper names, do not space between letters which are abbreviation for words:

H J Gray & Assoc  
E F Hutton Inc  
IBM Corp  
YMCA of Greater Boston

- B. For awardees whose organization name contains a proper name, do not invert first and last names:

Neil R Gross & Co Inc  
C B Anderson Electric Co  
William Johnson & Assoc

- C. When an ampersand (&) is included in a name, leave a space on each side of it:

EG & G  
Neil R Gross & Co Inc

- D. Invert names of state, city, and town organizations, as follows:

Massachusetts State of  
Boston City of  
Manchester Town of  
Fairfax County of

- E. Invert names of State Universities, as follows:

Florida University of  
(for University of Florida)

- F. Never include the following words at the beginning of the awardee's name:  
Fellows, Regents, Board of Trustees, etc:

Harvard University  
(for Fellows of Harvard University)  
Oregon University of  
(for the Board of Trustees  
of the University of Oregon)

- G. Each State usually publishes a manual, primarily for the use of the State legislature. The books are sometimes referred to as a Blue Book, Legislature Manual, index guide, or chart of validating the true names of State organizations.

- H. Names of Independent School Districts will appear as follows: Independent School Dist # (insert # - up to 5 spaces long)

- I. Independent School District, Consolidated School District, and Unified School District may be abbreviated as ISD, CSD, and USD respectively, for example:

Texarkana ISD  
Paradise Valley USD #40

### **Format When The Awardee Is An Individual:**

- A. Awardee name may consist of the following portions (and in the sequence listed): Surname, Title (if any), First Name, and Middle Initial.
- B. Surname - This portion contains, when present, surname suffixes, such as Jr, III, etc. that are placed after the surname.
- C. Title - Titles denote designations added to names of individuals, such as Dr, Re, Col, Bro, etc. Use of Mr, Ms, Miss, and Mrs is not a title.

**Spacing:** Spacing appears when it is a part of the name, as in a compound name that contains a space rather than a hyphen, and between the surname and the surname suffix, between the suffix and the first name, and between the first name and the middle initial.

### **Examples:**

Van Buren Jr Alfred  
A Johnson Jr Dr William R  
Thompson III Harold  
O'Kelly Mary Anne

### **Format When The Awardee Is A U.S. Government Agency:**

When the agency is a government department, the name should be inverted. For Department of Transportation, enter Transportation Department of. Other format and editing rules remain the same.

### **Examples:**

National Bureau of Standards  
Air Force Department of  
National Security Agency  
Housing & Urban Dev. Dept of

**Format For Awardee Division Field:**

- A. Do not repeat the awardee name, either exactly or in a slightly different format, in the division field.

**Incorrect Example:**

Name: Maryland University of  
Division: Maryland State Univ System

**Correct Example:**

Name: Maryland University of  
No Division

- B. Do not put "Physical Plant", "Office of Sponsored Research", "Office of Contracts & Grants" etc. in the division field.
- C. Do not describe the awardee in the division field.

**Incorrect Example:**

Name: Sunnyvale Health Spa  
Division: For Rehabilitation/Vocational

**Correct Example:**

Name: Sunnyvale Health Spa  
No Division

- D. Do not continue awardee name into the division field. If the name will not fit into the thirty (30) spaces available, it must be shortened through abbreviations.

**Incorrect Example:**

Name: RAMS Specialized Security Division: Service Inc.

**Correct Example:**

Name: RAMS Spec Security Svcs Inc



- E. Do not put street address or the name of a contact person in the division field. This is not a field to use for internal purposes and should only be used for functional divisions of the awardee.
- F. Do not put the name of specific schools in the division field if an award is to a school system.

**Incorrect Examples:**

Name: Middletown Middle School Dist  
Division: Building #6

Name: Middletown School District  
Division: Roosevelt Middle School

- G. Do invert the division name and do always abbreviate "Department" to "Dept" when it appears in the division field.

**Correct Examples:**

Name: Virginia University of  
Division: Chemistry Dept of

Name: Howard University  
Division: Energy Research Dept

Name: IBM Corp  
Division: Aerospace Div of

# ATTACHMENT 1

## PERMISSIBLE ABBREVIATIONS FOR USE IN PADS

Administration*	Admin	Doctor	Dr
Agency	Agcy		
Agricultural	Agric		
American	Amer		
Analysis	Anal	Economic	Econ
And*	&	Education	Educn
Archbishop	Abp	Engineering	Eng
Archdiocese	Ads	Equipment	Equip
Associated(es)	Assoc	Evaluation	Eval
Association	Assn	Environmental	Env
Authority	Auth	Executive	Exec
Board	Bd	Federal	Fed
Brothers	Bros	Foundation	Fdn
Building	Bldg		
Bureau	Bur	General	Gen
Business	Bus	Government	Govt
		Greater	Gtr
Catholic	Cthc		
Center	Ctr	Health	Hlth
Chemical/Chemistry	Chem	Hospital	Hosp
Church	Chu		
College	Coll	Incorporated*	Inc
Commission	Comm	Industrial	Ind
Community	Cmty	International	Intl
Company	Co	Institute	Inst
Computer	Comp	Independent	Ind
Conference	Conf		
Control	Ctrl	Laboratory	Lab
Construction	Constr	Library	Lib
Cooperative	Coop	Limited*	Ltd
Corporation*	Corp		
Contractor	Contr	Management	Mgt
Council	Cncl	Manufacturing	Mfg
County	Cty	Mechanical	Mech
		Medical/Medicine	Med
Department	Dept	Memorial	Mem
Development	Dev	Metropolitan	Metro
District	Dist	Mountain	Mtn
Division	Div	Municipal	Munic

National	Natl		
Observatory	Obsv	Service	Svc
Office	Off	Society	Soc
Opportunity	Opp	State	St
Organization	Org	System	Syst
Planning	Plng	Technical	Tech
Professional	Prof	Technology	Tech
Program	Prgm	Township	Twp
Project	Proj	Training	Trng
Regional	Reg	Unified	Und
Research	Res	United	Untd
Reservation	Resva	United States	US
		University	Univ
		Utility	Util
Saint	St		
School	Sch	Vocational	Voc
Science	Sci		

#### NOTES:

- A. An "S" may be added to any appropriate abbreviation to indicate a plural.
- B. Directions should be written as follows:

North	N	Northern	NRN	Northeast	NE
South	S	Southern	SRN	Northwest	NW
East	E	Eastern	ERN	Southeast	SE
West	W	Western	WRN	Southwest	SW

\* Indicates those words which should always be abbreviated.